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ABSTRACT

Guidelines concerning what grantseekers should know about foundations before they ask for money and how to find the facts needed to obtain a grant are presented. There are basically three types of private foundations (independent, operating, and company-sponsored) and one type of public foundation (community foundations) that are of interest to grantseekers. It is suggested that nonprofit organizations should explore their eligibility for federal funding carefully before approaching any other funding source. Corporations give through separately established foundations and through corporate contributions programs operated within their companies. Individuals are also a significant source of funding. Larger foundations differ from small foundations in a number of significant ways, which are of importance to grantees. Data on funding patterns of all foundations by asset categories and grant categories are presented, along with data on assets, grants, and gifts of foundations by state. Suggestions to provide alternative funding possibilities for individuals and organizations that lack official nonprofit status are offered. Specific steps for finding foundations that are in the grantseeker's geographic area and that are interested in the grantseeker's field are examined. Research steps for learning about a foundation and details on the information sources are presented, along with a proposal checklist, and an IRS form for tax exempt private foundations. Appended materials include a sample subject search, geographic searches, a bibliography of area foundation directories, and a list of reference collections operated by the Foundation Center. (SW)

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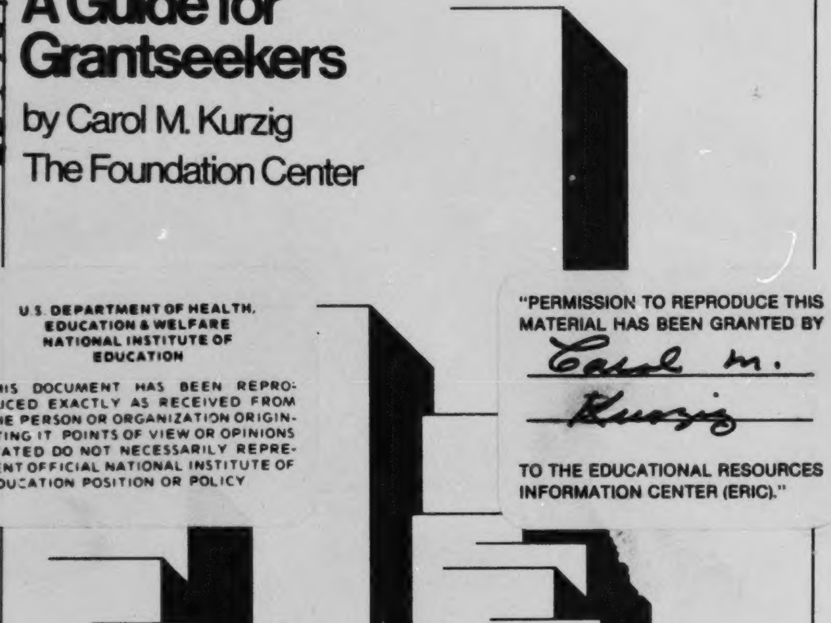
Foundation Fundamentals: A Guide for Grantseekers

by Carol M. Kurzig

The Foundation Center



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Preface

Recently, a California foundation, in analyzing its previous year's grants, found it had funded only 1.9 percent of all the proposals it received. This fact seems very discouraging when you're considering whether to apply for a foundation grant. However, that same foundation also found that over 90 percent of the proposals it had received were totally outside its stated, published, and widely publicized scope of interest. This is not an isolated or extreme example. The vast majority of foundation proposals are rejected at first review because the applicants simply do not do their homework and do not understand how foundations make grants.

Foundation Fundamentals is designed to help both novice and experienced grantseekers become more familiar with the world of foundations. Section One, "What You Should Know About Foundations Before You Ask for Money," describes the various types of foundations, the grants they make, and the relationship of foundation funds to the total grant funds available to nonprofit organizations and programs. Section Two, "How to Find the Facts You Need to Get a Grant," provides a step-by-step explanation of the research process and reference tools grantseekers can use to locate the foundations most likely to be interested in funding their proposals.

Helping grantseekers find the facts they need about foundations has been one of the goals of The Foundation Center since it was established in 1956. The Center is the primary source of factual information in the foundation field, and it publishes a wide range of foundation reference books, which are described in this guide. Full bibliographic and order information is provided in Appendix D for all resources discussed in the book. To provide free public access to information on foundations, the Center operates libraries in New York, Washington, D.C., Cleveland, and San Francisco and maintains a nationwide network of cooperating collections in all fifty states. These funding resource centers are listed in Appendix F and should be the first place to check when you are ready to begin your research. The reference materials described here are all available for your use at these centers without charge. After working with these resources, you will be able to decide which, if any, you need to purchase for continuing research in your office or home. You may well find, as thousands of grantseekers have, that The Foundation Center's library collections provide all of the necessary tools and are located conveniently enough to serve all of your fundraising reference needs.

Foundation Fundamentals answers the questions asked most frequently by grantseekers when they first visit The Foundation Center's libraries, anxious to learn if there is money available for their program or organization. Hopefully, it will also alert experienced fundraisers to new resources and services which will help them improve the comprehensiveness and timeliness of their funding research.

Recently there has been a dramatic proliferation of books, courses, seminars, and services offering assistance in fundraising. To judge their potential value in terms of your needs often seems impossible without first investing a good deal of your scarce time and money. The Foundation Center is unique in providing a totally free channel to all of the basic resources you need to research potential funding sources and to develop your proposal. Though you must still invest the time it takes to utilize these resources to your best advantage, this guide can give you a headstart in identifying the best approach and the necessary resources to begin your search. The next step is up to you.

Special thanks for insightful suggestions and comments, as well as for encouragement and moral support, as *Foundation Fundamentals* was being prepared go to Thomas Buckman, President of The Foundation Center; the staff of The Foundation Center New York Library; Sherry Goldstein, Steve Seward, Marianna Lewis, and Pat Read of The Foundation Center Editorial Department; and Tom Boyd of the Grantsmanship Center. Credit for the idea of a basic guide to foundation funding research goes to Judith Margolin, upon whose excellent booklet, *About Foundations*, this publication attempts to build.

Introduction

Each year nearly one million requests for funding are made to the approximately 22,000 active foundations in the United States. Of these requests, perhaps no more than six or seven percent eventually obtain the support they seek. Many applications fail because they represent programs or projects that do not match the interests of the foundations approached. Still others are declined because they appear to be of lower quality than those few programs that are funded. Although it is impossible to eliminate these kinds of rejections entirely, grantseekers can increase their chances for success by understanding the priorities of individual foundations and by relating directly to these interests. The sources of information described in this book will help you identify those foundations that might be interested in your project, while the advice on proposal preparation should help you to anticipate the kinds of information needed by foundations when they make funding decisions. To enable you to place this information in a useful framework, this introduction will try to define the other kinds of activities that should be undertaken before you submit a request for funds. It is also intended to "demystify" the way foundation grants are made by briefly describing the selection process as it commonly occurs.

The actual grantmaking universe is a good deal smaller than the 22,000 foundations just mentioned. Most of these foundations have endowments of less than a million dollars, have no professional staff, and mainly tend to support organizations to which they have personal ties. Relatively few foundations have well-defined areas of interest and are in a position to initiate projects or respond to requests for funds from nonprofit organizations. The money that they provide constitutes a true "scarce resource," the demand for which far exceeds its availability.

To be sure your proposal will be able to compete effectively in this grants marketplace, ask yourself the following questions before deciding to apply for foundation funding:

1. *Are you convinced that the program for which you seek support meets a real need and, furthermore, that it provides a convincing solution to the problem you have identified?* This caution has been repeated so often that it has become a kind of cliché; however, a disappointingly large number of requests derive from staff interests or a desire to utilize vacant space rather than from a real need or a serious policy issue. Ask yourself how you know that a particular problem exists and why your approach can aid in solving it. Extensive statistical documentation is not usually necessary, but a clear definition of the specific need for the program certainly is.

2. *Does the scope of the proposed solution or program relate directly to the scale of the problem you have defined?* The provision of a health screening team in one senior center is unlikely to alter national patterns of health service, but it can provide improved care for hundreds of older people in an area with few physicians and can serve as a model for other centers. Similarly, a volunteer tutoring program will not revolutionize an educational system, but it may help to educate youngsters in a given community, bring several generations together, or mobilize neighbors to work together to improve local schools.

3. *Is it clear that the program actually needs foundation support?* A surprising number of proposals can be more appropriately funded through other sources. For example, fees can often be charged for a service program or a paid membership can be developed. A charge can be made for copies of a report or regular newsletter, and some equipment can be purchased secondhand or obtained free of charge as a donation from a local company. These sources rarely provide all of the funds necessary for a new program, but they can reduce the amount of outside dollars needed.

Aside from foundations, the other principal source of program funds is the government, often referred to as "the largest foundation of all." Most foundations are reluctant to support programs if government funds are available for the same purpose, nor will they pick up the cost of an existing project that has lost its public funding, except in unusual circumstances. While the validity of this policy has often been debated, the fact is that all foundation spending equals less than one percent of the federal budget. Rather than using scarce dollars to augment government programs, foundations try to encourage new ideas or promote efforts which look critically at public policy issues.

4. *Are you approaching those foundations that you have firm reasons to believe will be interested in your proposal?* Remember that successful grant solicitation, unlike a lottery, does not depend on the sheer number of foundations contacted, but on identifying and then reaching those with a pattern of funding programs like the one for which you need support. In extreme cases this may mean applying to just one or two foundations, but if sending out a larger number of proposals only results in a greater volume of

rejections, you will be wasting both time and postage.

5. *What do you do if, after reviewing all available information about a particular foundation, you are still uncertain whether to approach it with your request?* While many foundations try to respond to telephone inquiries, it is always preferable to submit a brief description of your program in the form of a letter to the foundation's executive director (or to the appropriate board member if there is no staff). This description need be no more than one or two pages long but should summarize the nature of the program, the reason for it, the ability of your agency to carry it out, and the amount of support needed. Usually your letter will provide enough information for a foundation to determine whether your request is a potential candidate for funding. If not, your request will probably be declined at this point. In fact, even if you have reason to believe that a particular foundation may be interested in your request, you can confirm this initially with a well-conceived letter of inquiry rather than a full proposal, since a growing number of foundations actually prefer the brevity of this approach. In effect, it constitutes a kind of miniproposal, especially if accompanied by some additional materials that describe your organization.

6. *Is your group structured so that it may receive foundation grants?* Since most foundations can make grants only to organizations having tax-exempt status, your request should be accompanied by a copy of the Internal Revenue Service letter confirming this status. If your organization is in the process of applying for IRS approval, indicate this instead. If neither of these circumstances applies, you can ask a nonprofit organization to receive and administer the grant for you; in this case you should briefly describe the organization and attach a copy of its IRS letter.

7. *Do you understand the foundation review and administrative process?* Once a request is submitted, its ultimate fate will be determined by the foundation's selection process. In some of the larger foundations, the decision to reject a request or consider it for funding is a staff decision. At unstaffed foundations one board member may have the responsibility for screening proposals or the full board might review all requests. In general, this preliminary screening determines whether a program falls within a foundation's fields of interest, meets any special priorities, or has obvious merit in terms of its approach. Roughly half of all requests fail to meet some or all of these criteria and are declined at the outset, usually by a brief letter or printed card. If the proposal passes this initial screening process, additional material may be requested or a meeting with the prospective grantee can be arranged. A decision is then made to schedule the request for review by the foundation's board or to decline it. If your proposal is to be brought to the board, you may be asked to make various modifications in the program or budget, to respond in writing to certain questions, or to provide other information in support of your request. Realistically, even among the limited number of requests that reach this level, some will be declined. Few foundations can afford to support all the good programs they consider, and

most boards prefer to review a variety of programs before making a final selection. In the last analysis, less than ten percent of all requests obtain foundation funding.

Since each foundation is unique, grantseekers should be sure to find out about the selection process followed by the particular foundation they have applied to. If your request is being seriously considered, ask about the foundation's timetable, its general criteria for selection, and your chances for being funded. If you are turned down at a preliminary stage despite careful research on the foundation's interests, try to determine why. Finally, if your project is declined after a full review by the board, you should try to find out the reason behind the foundation's decision before seeking future grants. Don't hesitate to ask for this kind of information when it seems appropriate.

Harriet L. Warm
Florence V. Burden Foundation

Section I

What You Should Know About Foundations Before You Ask For Money

Chapter 1

What Are Foundations?

A private foundation is generally defined as a nongovernmental, nonprofit organization with funds and program managed by its own trustees or directors and established to maintain or aid social, educational, charitable, religious, or other activities serving the common welfare, primarily through the making of grants.

Some foundations may use different words in their names, such as "fund," "trust," or "endowment," but these terms indicate no legal or operational differences. On the other hand, there are organizations which use the term "foundation" or "trust" in their names but which are not operating as foundations in the legal sense, although in some cases they may make grants to other organizations. The nomenclature can be confusing, but the significant distinction is that those nonprofits actually classified by the Internal Revenue Service as private foundations must be organized and operated under specific regulations which have relevance to grantseekers, as we'll discuss later. Regardless of the terms used in the organization's name, learning how an organization is classified by IRS will indicate how the organization functions and what information about its activities will be available.

TYPES OF FOUNDATIONS

There are a number of ways foundations are classified, and you should familiarize yourself with the terms used most commonly because they generally imply certain operational differences. There are basically three types of private foundations (independent, operating, and company-sponsored) and one type of public foundation (community foundations) which are of interest to grantseekers.

Operating foundations are of less interest to grantseekers because they make few if any grants but generally plan and carry out programs managed by their own staffs. In some situations, however, operating foundations do work with nonprofit organizations on specific projects. Amherst H. Wilder Foundation and Twentieth Century Fund, Inc. are examples of operating foundations.

Company-sponsored foundations obtain their funds from profit-making companies but are legally independent entities. They are often used as conduits for corporate giving, making grants to organizations serving company employees, to communities where the company has operations, to conduct research in related fields, or to improve the company's public image.

Company-sponsored foundations vary a great deal in the amount of money they give annually, but they tend to give a large number of relatively small grants. In fact, Foundation Center statistics indicate that among the 50 foundations in the country giving the largest number of grants in 1978, all but eight were company-sponsored foundations.

There is no hard data available on the total number of company-sponsored foundations in operation, but we do know that in 1977–78 there were 545 company-sponsored foundations having assets exceeding $1 million or making annual grants totaling more than $100,000, an increase of 83 foundations (18 percent) in this size range over the preceding two years. The Foundation Center's *COMSEARCH Printouts: Special Topics* series includes a printout which identifies these foundations and gives a brief profile of each. In addition to company-sponsored foundations, some corporations operate direct-giving programs. In these cases the grantmaking apparatus exists within the corporation and is administered by corporate personnel. There are also a number of corporations which make grants through both a foundation and directly through the company.

Independent foundations make up the bulk of the private foundation universe. The assets of independent foundations commonly come from the gift of an individual or family. Many function under the direction of family members and are often called "family foundations." Others may bear a family name but have independent boards of trustees and professional staff, such as The Ford Foundation. Depending on the subject range of their giving, they may also be classified as "general purpose" or "special purpose" foundations.

Community foundations generally make grants only in their own metropolitan areas and are governed by boards broadly representative of their community. Their income is from a variety of sources, including trusts established by individuals, families, or companies, and they can also be the recipients of private foundation grants. In some cases a substantial percentage of their grants is made according to very specific donor instructions, leaving little money to be distributed at the discretion of the board. Community foundations are usually classified by the IRS as public charities and therefore are not subject to the same regulatory provisions that apply to private foundations. However, the fact that community foundations are not mandated by law to make available the information required of private foundations is rarely a problem because of their strong local involvement and general operating philosophy. Community foundations are among the most open foundations, and they usually make a great deal of information available about their activities. The Cleveland, New York, and San Francisco foundations are three of the largest of the approximately 225 community foundations.

The federal government operates several programs with obvious similarities to foundations, such as the National Science Foundation and the National Endowment for the Arts. These are grantmaking bodies, but they are operated with tax money appropriated by Congress and function as government agencies rather than private foundations.

A LITTLE HISTORY

The modern foundation is a descendent of the fixed purpose charitable trust which has existed since Roman times and probably earlier. The concept of a foundation was defined legally in the English Statute of Charitable Uses (1601), in which the state granted certain privileges to private citizens or groups of citizens in exchange for their willingness to serve the public good by performing or supporting acts of charity. In general, legal doctrines in the common law countries since then have preserved this status for all types of charitable organizations, including foundations, churches, hospitals, and colleges, insuring their right to tax exemption and to exist in perpetuity as long as they meet the test of being charitable.

The general purpose foundation, with a broad charter enabling its trustees to address any problem affecting the general welfare worldwide, is an American innovation, originating by the late nineteenth and early twentieth centuries, prior to World War I. Notable early examples are Carnegie Corporation of New York (1911) and The Rockefeller Foundation (1913). In actual practice, general purpose foundations have usually limited their programs to a few broad fields while retaining the option to move into new fields as social conditions change.

Foundations have been the focus of three waves of controversy in recent decades. In the 1950s, they were charged with communist penetration and subversion, but two successive congressional investigations failed to substantiate these charges. In the 1960s, fiscal and administrative practices were uncovered which resulted in the passage of new regulatory tax law provisions. And in the 1970s, critics, mainly outside the Congress, raised questions about foundation decision-making, the composition of boards, and accountability to the public, citing the need for social responsibility and change. The Council on Foundations, Inc., with a membership of about 1,000 leading foundations which together hold most of the assets of the American foundation community, provides a forum for discussion of these issues.

Table 1 Analysis of Foundations By State

State	Assets (Market Value)	Percent	Grants Paid
Alabama	$ 81,627,979	.2	$ 5,581,942
Alaska	1,846,930	*	130,938
Arizona	47,959,329	.1	4,965,889
Arkansas	52,317,503	.1	3,580,947
California	2,491,330,128	7.0	166,501,636
Colorado	374,529,247	1.1	19,194,493
Connecticut	668,501,907	1.9	52,477,180
Delaware	392,626,105	1.1	14,873,349
Dist. of Columbia	288,319,509	.8	19,803,419
Florida	507,931,463	1.4	28,253,054
Georgia	517,574,392	1.5	31,817,581
Hawaii	123,435,924	.3	6,256,013
Idaho	16,590,088	*	1,121,112
Illinois	1,474,154,625	4.2	130,432,148
Indiana	820,700,030	2.3	56,325,429
Iowa	117,230,464	.3	9,408,468
Kansas	81,048,700	.2	6,710,278
Kentucky	144,301,782	.4	8,548,515
Louisiana	139,634,528	.4	8,526,861
Maine	22,693,260	.1	1,845,791
Maryland	245,171,116	.7	16,731,255
Massachusetts	792,249,193	2.2	54,148,085
Michigan	2,777,260,899	7.8	178,872,147
Minnesota	1,003,280,054	2.8	76,333,148
Mississippi	18,223,012	.1	1,480,267
Missouri	561,105,371	1.6	44.791,730
Montana	13,131,166	*	733,328
Nebraska	54,263,912	.2	4,352,763
Nevada	100,767,343	.3	6,292,390
New Hampshire	51,639,886	.2	3,591,786
New Jersey	1,438,101,396	4.1	81,949,068
New Mexico	12,462,726	*	800,310
New York	11,053,816,917	31.3	707,556,460
North Carolina	386,997,928	1.1	29,804,818
North Dakota	5,996,661	*	508,768
Ohio	1,451,668,312	4.1	109,698,465
Oklahoma	392,192,627	1.1	22,728,227
Oregon	119,132,129	.3	7,908,724
Pennsylvania	2,731,230,008	7.7	168,844,640
Puerto Rico	9,555,827	*	204,844
Rhode Island	84,057,188	.2	6,235,869
South Carolina	119,745,355	.3	9,553,153
South Dakota	5,493,345	*	241,289
Tennessee	284,300,798	.8	16,141,645
Texas	2,265,349,081	6.4	141,273,191
Utah	33,080,930	.1	2,787,032
Vermont	31,505,943	.1	1,038,752
Virginia	165,479,762	.5	13,622,397
Washington	301,856,663	.9	20,557,399
West Virginia	33,751,900	.1	2,359,622
Wisconsin	429,492,002	1.2	37,751,406
Wyoming	31,854,789	.1	1,881,129
TOTALS:	$35,368,568,105	100%	$2,347,129,150

NOTE: Details may not add to totals because of rounding. * = less than 0.1%

Percent	Gifts Received	Percent	No. of Foundations	Percent
.2	$ 4,794,160	.3	144	.6
*	100,763	*	7	*
.2	2,415,521	.1	108	.5
.2	12,992,250	.8	117	.5
7.1	105,732,936	6.4	1,605	7.2
.8	39,274,653	2.4	218	1.0
2.2	35,642,406	2.2	558	2.5
.6	39,348,158	2.4	129	.6
.8	17,221,233	1,0	206	.9
1.2	88,570,969	5.4	609	2.8
1.4	10,528,150	.6	380	1.4
.3	1,504,701	.1	77	.4
*	1,131,378	.1	36	.2
5.6	85,303,191	5.2	1,475	6.7
2.4	19,205,593	1.2	414	1.9
.4	13,856,264	.8	256	1.2
.3	5,017,516	.3	191	.9
.4	7,250,641	.4	121	.6
.4	4,708,324	.3	181	.8
.1	1,131,235	.1	92	.4
.7	20,732,727	1.2	360	1.6
2.3	31,342,954	1.9	1,256	5.7
7.6	128,183,844	7.8	680	3.1
3.2	155,938,089	9.5	471	2.1
.1	3,179,399	.2	69	.3
1.9	44,859,040	2.7	519	2.3
*	1,328,254	.1	43	.2
.2	4,322,670	.3	139	.6
.3	89,105	*	28	.1
.1	3,195,447	.2	173	.8
3.5	50,661,881	3.1	657	2.9
*	5,011,959	.3	34	.2
30.1	357,205,989	21.7	4,606	20.8
1.3	18,712,634	1.1	401	1.8
*	52,781	*	36	.2
4.7	75,655,010	4.6	1,130	5.1
1.0	5,458,984	.3	167	.8
.3	5,171,888	.3	183	.8
7.2	56,711,504	3.4	1,247	5.6
*	141,326	*	3	*
.3	6,039,163	.4	116	.5
.4	5,283,786	.3	145	.6
*	146,192	*	32	.1
.7	37,379,127	2.3	229	1.0
6.0	84,099,972	5.1	1,043	4.7
.1	3,090,117	.2	87	.4
*	189,933	*	46	.2
.6	6,090,230	.4	340	1.5
.9	11,923,710	.7	280	1.3
.1	970,032	.1	56	.3
1.6	28,061,977	1.7	628	2.8
.1	408,086	*	24	.1
100%	$1,647,367,852	100%	22,152	100%

NOTE: Details may not add to totals because of rounding.

* = less than 0.1%

Today, private foundations are defined and regulated principally by provisions of the Tax Reform Act of 1969 with some modifications as a result of the Tax Reform Act of 1976. The primary legal distinction between the status of private foundations and that of other charitable organizations is the amount of private financing foundations receive from a single source compared with the amount of public support from multiple sources that organizations classified as public charities receive. Congress assumed that publicly supported organizations are subject to the discipline of public opinion, but that institutions drawing their funds from a single source are not subject to this corrective influence and should be regulated in some other way. Therefore, special rules for private foundations (not applicable to most community foundations) were added to the Internal Revenue Code in 1969 prohibiting self dealing between wealthy persons and their foundations; requiring a minimum annual payout of money to charities; and introducing restrictions concerning foundation ownership and control of private business, foundation investments, and the use of foundations for noncharitable purposes.

The two government regulations of greatest interest to grantseekers are the requirements that each foundation pay out in grants a minimum of 5 percent of the average market value of their assets each year and issue a report which is available for public inspection. Private foundations file two information returns annually with the IRS, the 990-AR and 990-PF, which, unlike most IRS returns, are available for public review. The contents and use of these documents are described in Chapter 8.

According to IRS records, there are approximately 28,000 nonprofit organizations which are classified as private foundations, but only about 22,000 organizations are currently active grantmakers. The other 6,000 foundations either have not reported to IRS in the past three years or have awarded total grants of less than $1 per year and are therefore of little interest to grantseekers.

Combined foundation assets currently exceed $35 billion, and foundation grants total over $2.3 billion each year. Foundations are located in every state of the union with a major concentration in the Northeast. In fact, foundations located in the Middle Atlantic States (New York, New Jersey and Pennsylvania) and the East-North Central States (Ohio, Indiana, Illinois, Michigan, and Wisconsin) account for 49 percent of the total number of U.S. foundations, 63 percent of foundation assets, and 63 percent of total foundation giving.

Since 1961 when The Foundation Center first began to record and categorize foundation grants, the distribution of grant dollars by subject area has remained stable, generally varying only a few percentage points. Education has always ranked highest. Because so many projects or programs funded by foundations under other headings—for example, international activities, science, and humanities—are channeled through educational institutions, it is fair to assume that probably more than half of the foundation dollars reported are for education broadly defined. Health has generally followed education in dollar value, but social welfare has most often taken second place in terms of the number of grants awarded. International activities, which was a high priority area during the 1960s, has fallen steadily behind in recent years. The humanities have consistently remained in either fifth or sixth place. Religious organizations have always been the least favored recipients of foundation grants, but in the broader philanthropic picture they receive about half of all charitable dollars because of the large number of contributions from individuals.

Table 2 Grants Analysis by Major Areas of Funding

	1979			1978			1977			1976		
	No. of Grants	Amount (millions)	Percent	No. of Grants	Amount (millions)	Percent	No. of Grants	Amount (millions)	Percent	No. of Grants	Amount (millions)	Percent
Education	4,868	$312	29	3,862	$233	28	3,068	$200	26	2,852	$217	29
Health	2,616	212	20	2,372	164	20	2,135	167	22	1,726	141	19
Sciences	3,707	211	19	2,633	141	17	2,710	135	17	2,285	125	17
Welfare	4,121	144	13	3,522	132	16	3,264	100	13	2,679	104	14
Humanities	2,375	118	11	1,666	87	11	1,535	66	9	1,350	81	11
International Activities	1,254	70	6	890	49	6	1,103	85	11	892	72	9
Religion	546	22	2	452	16	2	460	17	2	335	12	1
	19,487	$1,089	100%	15,397	$822	100%	14,275	$770	100%	12,119	$752	100%

Chapter 2

Where Foundations Fit in the Total Funding Picture

Although the foundation statistics offered in the preceding chapter are impressive, it's important to put them in perspective. Private foundation giving represents only a small portion of total private sector funding, which in turn is but a fraction of public spending in philanthropy-related categories.

In 1978 private philanthropic contributions totaled almost $40 billion, but foundation giving represented only 5.5 percent of this total. The figures in Table 3 present a picture of foundation giving increasing in dollar value, while decreasing as a percent of all charitable giving. Simultaneously, corporate contributions have continued to increase in both amount and as a percent of the philanthropic total.

Table 3 Philanthropic Giving

	1976		1977		1978	
	billions	**% of total**	**billions**	**% of total**	**billions**	**% of total**
Individuals	$23.58	80.1%	$29.50	83.8%	$32.80	82.9%
Bequests	2.36	8.1%	$ 2.2	6.0%	$ 2.60	6.6%
Foundations	2.13	7.2%	$ 2.01	5.7%	$ 2.16	5.5%
Corporations	1.35	4.6%	$ 1.57	4.5%	$ 2.00	5.0%

Source: American Association of Fund Raising Counsel, Inc. Giving USA Annual Reports 1977, 1978, 1979

Although many grantseekers feel that federal grants and contracts are becoming harder and harder to secure, comparative figures underline the obvious fact that the private sector cannot possibly attempt to fill any federal funding gap. You need only compare the $40 billion philanthropic total and the $2.16 billion foundation total for 1978 with federal budget figures for the same period such as $43.7 billion for health, $26.5 billion for education, training, employment, and social services, $10.9 billion for natural resources and the environment, and $5.9 billion for energy to see the small role foundations can realistically play in the total funding picture.

In fact, the private sector will be hard pressed to maintain current giving levels in the current inflationary economic climate. In tracing the effect of inflation from 1972 to 1977, The Foundation Center found that the value of foundation assets in constant dollars had dropped 29.5 percent in those five years, representing an asset loss of $7.3 billion. Grants during the same period were up 33.5 percent in current dollars (from $1.5 billion to $2.1 billion), but when factored for inflation, grants had actually dropped 8.2 percent to a level of $1.1 billion. Table 4 illustrates the impact the inflationary spiral has had on the ability of foundations to sustain their grants program.

GOVERNMENT GRANTS

Anyone attempting to raise money for a nonprofit organization should explore their eligibility for federal funding carefully before approaching any other funding source. Unlike most foundations, federal agencies usually require completion of one or more application forms and in general require more reporting and paperwork. On the other hand, advance information regarding federal programs, including eligibility requirements and grant amounts, is usually available, and federal grants are generally much larger than those of foundations.

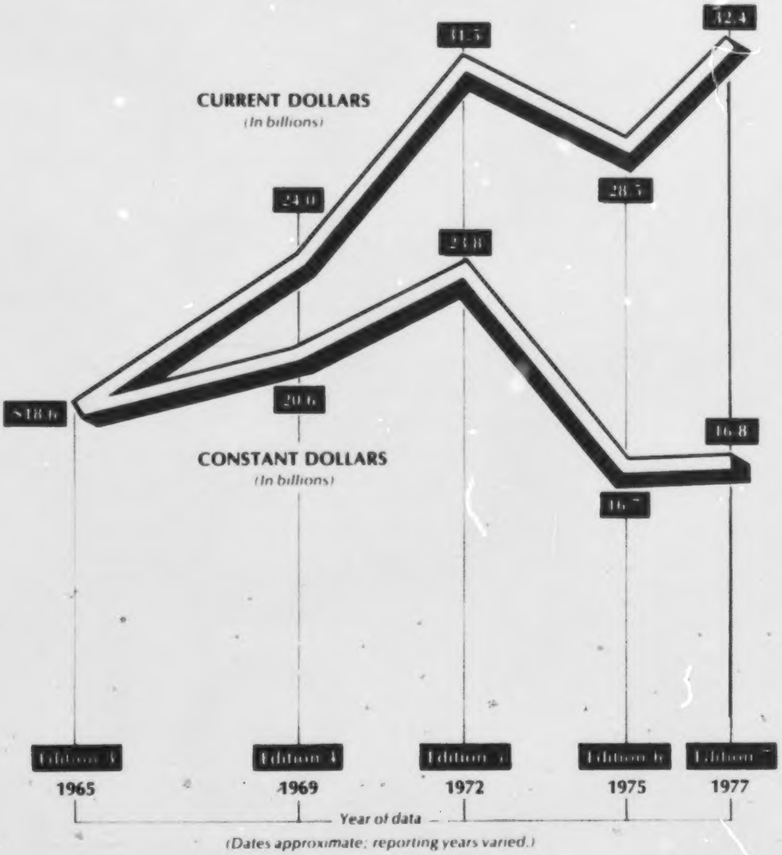
The main information resource on federal funding is *The Catalog of Federal Domestic Assistance*, an annual listing of all federal agencies and the types of programs they fund. Legislative origin, eligibility requirements, and application information are supplied for each program. Two publications supplement the basic information you'll find in the *Catalog*. *The Federal Register* is published weekdays and presents proposed and final rules and regulations developed by all federal agencies as well as information on program deadlines and applications. Each issue has a highlights page which can be skimmed for pertinent material. *Commerce Business Daily* has information on federal contracts up for bid. Checking these publications regularly is a good way to remain informed about new government programs and awards in your field. You should also write to the federal agencies working in your field to have your name added to their mailing lists for program announcements, requests for proposals (RFPs), and information on their future plans.

A recent development is the computerization of information on federal grants and contracts. A database has been developed called the Federal Assistance Program Retrieval System (FAPRS) which permits computer searches of the data in *The Catalog of Federal Domestic Assistance*. For more information on how to use this service, write to the Rural Development Service, Department of Agriculture, 14th and Independence Avenues, Washington, D.C. 20250.

Table 4 Effect of Inflation on Foundation Assets

FOUNDATION ASSETS as Reported in Editions 3–7 of The Foundation Directory for Foundations with Assets of $1 Million or More in Current and Constant Dollars.

(1965 = $1.00)



© 1979 The Foundation Center

Source: The Foundation Directory, Edition 7

CORPORATE GRANTS

Corporations give in two ways, through separately established foundations and through corporate contributions programs operated within their company. Some companies use both methods. The same information is available on company-sponsored foundations as on any other private foundation. It is far more difficult to find information on direct corporate giving programs because they are not legally required, as private foundations are, to make information about their grants public. However, in a report for the Commission on Private Philanthropy and Public Needs in 1977, R. Palmer Baker, Jr., and J. Edward Shillingbug reported that use of a company foundation does not appear to lead to a different pattern of fund distribution than that of a direct corporate giving program. They noted that a corporation with a foundation typically divides its philanthropic budget between local giving and the company foundation. Local plants or offices will contribute directly to local community funds and health and welfare agencies, while the foundation will concentrate on higher education, including capital, research, and scholarship grants.

To encourage direct philanthropic contributions, the government allows corporations to deduct from their taxes up to 5 percent of their pre-tax profit in "charitable contributions," but only about 1 percent of total corporate net income before taxes is currently diverted for such purposes. While relatively few corporations take advantage of the full 5 percent deductibility opportunity, corporate giving continues to grow both in dollars and in the number of corporations participating. Many observers feel that corporate contributions represent the greatest potential growth field in the philanthropic sector.

The lack of published information about corporations makes it difficult to research their giving interests, but there are several indirect research approaches you might try. First, investigate all corporations with headquarters or branches in your area and call to check on their giving policies. Also consider corporations working in an area with some topical connection to your program. Try to show them how their products or services relate to what you're planning to do and how their customers or their public image might benefit from your program.

The best information on corporate giving is available in the fields of education and the arts because three organizations, The Council for Financial Aid to Education (680 Fifth Avenue, New York, NY 10019), Business Committee for the Arts (1700 Broadway, New York, NY 10019), and American Council for the Arts (570 Seventh Avenue, New York, NY 10018) monitor corporate contributions in their fields very carefully. These organizations have published a variety of materials on corporate giving programs which you will find helpful, particularly *A Guide to Corporate Giving in the Arts* which describes the giving practices of 359 large U.S. corporations. Other useful publications include *The Handbook of Corporate Social Responsibility* and the journal *Business and Society Review*, both of which focus on companies with strong community commitments or unusual programs.

To find out about corporations in your community or corporations by type of industry, check the business reference department of your local public library. Sources to check include *Standard and Poor's Register of Corporations, Dun and Bradstreet Reference Book of Corporate Managements*, the local yellow pages, Chamber of Commerce directories, and corporate annual reports. Because companies will be more likely to give or increase giving in years when their profits are up, check the special annual issues of the magazines *Fortune* and *Forbes* which rank corporations by income.

Corporations donate goods and services as well as financial support. Called in-kind contributions, they often include product overruns or obsolete models manufactured or distributed by the company, office space or furniture and equipment, paper and printing services, and the donation of employees' time for technical assistance.

All inquiries should be directed to the corporate contributions officer by name, if you are able to locate such a position in a business directory or the company's annual report. If you are unable to find the name of a corporate contributions officer at a company you wish to approach, contact the public relations, community relations, or civic affairs office. In smaller companies, the chief executive officer, generally the president, will probably be the most useful direct contact.

INDIVIDUALS

As Table 3 illustrates, individuals are by far the largest single source of philanthropic dollars (82.9 percent). Of course, most of the $32.8 billion given by individuals is in the form of religious donations. Beyond that, individual contributions range from multimillion dollar endowments for museums and universities to used appliances donated for white elephant sales. There is a wide variety of biographical reference books available in most public libraries, such as "*Who's Who*" or the *Social Register*, which can be used to gather background information on potential contributors.

In-kind contributions of time and service from individuals can also be used to fill a wide range of needs. Many organizations have begun to train volunteers to do the type of funding research this guide describes. If program staff do not have the time to develop a thorough, accurate list of potential funding sources and to maintain current fundraising files, volunteers provide a good alternative. In many situations, the development of a program using volunteers working with program staff offers a viable long-term solution to the fundraising problems of nonprofit organizations.

OTHER SOURCES OF FUNDS

Nonprofit organizations are generally reluctant to charge fees for their services. However, a realistic fee schedule often means a minimal cost to the buyer and can make the crucial difference in an organization's ability to survive. Furthermore, it's been found that most people place a higher value on services or materials which are purchased, even at a modest fee, than those which are provided free.

There are a wide variety of special events, solicitation campaigns, special services, materials, and activities which nonprofit organizations can use to develop a funding base for their programs. A good source of information on how to develop a program of fundraising activities suited to your organization's needs and abilities is *The Grass Roots Fund Raising Book* by Joan Flanagan.

Chapter 3

What Does Foundation Size Mean to You?

In studying foundations, one of the things you'll notice first is how unique each foundation is. The variety of giving interests, operating philosophies, administrative procedures, and decision-making processes is extensive. Within this diversity, however, one particularly useful distinction emerges. There are a relatively small number of large, staffed foundations which operate quite differently from the vast majority of foundations which are far smaller in size and scope. Though it's always dangerous to make generalizations, there are some differences between these two broad categories of foundations which will be useful to keep in mind as you research and approach particular foundations.

What do we mean by a "large" foundation? Table 5 gives a breakdown of foundations by the current market value of their assets. The market value reflects the current worth of the assets, the amount which would be realized at the time investments are sold. The book value of assets reflects the original purchase price and in some cases may be vastly higher or lower than the market value as a result of fluctuations in value subsequent to purchase. Asset size is generally measured at market value and is therefore directly related to the current performance of a foundation's investment portfolio, its stocks, bonds, bank accounts, property, etc. As such, foundation assets reflect general economic conditions at the time of measurement. The assets of individual foundations also reflect the performance at that time of their own unique investment mix.

Foundation size is sometimes measured by the total value of annual grants. You'll find slight variations in sequence if you compare a list of the top foundations by asset size and one with foundations listed by grant totals. Sometimes these differences result from differing foundation policies on payout or because of the effect of unusually large grants in particular years, but the major differences occur because some foundations maintain relatively low assets and receive substantial gifts which are paid out directly in grants the same year. Company-sponsored foundations sometimes operate this way and so do some family foundations. Each year the anticipated amount of that year's grants is put into the foundation, keeping assets at a minimal level. At most foundations, however, grant totals will be directly proportional to asset size. Their annual grants will be about 5 percent of their current assets at market value, the minimum payout required by the Tax Reform Act of 1976, the current law regulating foundation payout.

Whether you are analyzing foundations by asset size (Table 5) or annual grant totals (Table 6), the figures all point to one fact: A small number of foundations control most of the money. At the pinnacle are about 100 foundations with assets greater than $50 million. They represent only one-half of one percent of the total number of active private foundations (22,152), yet they control 48 percent of all foundation assets.

In speaking of "large" foundations in terms of asset size, we generally include those with more than $1 million. There are roughly 3,100 foundations of this size, accounting for about 14 percent of the total number of foundations but representing about 93 percent of total foundation assets and 93 percent of total annual grants. Conversely, the remaining 19,000, representing 86 percent of the field, give away only 7 percent of the foundation dollars awarded annually. Yet even among this group of 19,000 "small" foundations, there is a substructure with a few foundations at the top of the range giving away the bulk of the money and the majority giving away relatively little.

The breakdown of foundations by annual grant totals in Table 6 again underlines the financial dominance of the field by a small minority of large foundations. Only about 350 foundations give away more than $1 million a year. They represent about 1.5 percent of the active foundations, but they give away about 58 percent of the grant money. At the other end of the scale, there are over 7,900 foundations that give away less than $5,000 a year. This means that 36 percent of the active private foundations give away only seven-tenths of one percent of the grant money.

What does this pattern of funding dominance by relatively few large foundations mean to grantseekers? You'll find that larger foundations differ from small foundations in a number of significant ways, and these differences will affect their relationship with potential grantees on every level.

FUNDING PATTERNS

Obviously, larger foundations have more money to give away. Their individual grants also tend to be larger. In many cases, they have paid staff to review and investigate proposals, develop programs, deal with the public, and carry out the directives of the board of trustees. They usually have well-developed statements of program interests and make information on

Table 5 Breakdown of Foundations by Asset Categories

Asset Category	No. of Foundations	Assets	Grants
$100 million +	41	$12,734,956,000	$ 643,276,860
$50 million–$99,999,999	59	4,385,245,700	202,065,040
$10 million–$49,999,999	371	7,645,529,600	435,468,260
$5 million–$9,999,999	409	2,915,189,200	235,240,350
$1 million–$4,999,999	2,150	4,719,773,200	389,554,850
$500,000–$999,999	1,696	1,190,723,100	120,696,020
$250,000–$499,999	2,376	842,432,450	99,361,696
$100,000–$249,999	3,600	582,940,290	82,204,576
$50,000–$99,999	2,822	204,590,690	51,636,896
$25,000–$49,999	2,491	91,312,040	28,007,520
$10,000–$24,999	2,533	42,798,360	24,880,704
Under $10,000	3,604	13,087,254	34,744,256
TOTALS:	22,152	$35,368,568,105	$2,347,129,150

NOTE: Details may not add to totals because of rounding.

SOURCE: The Foundation Center, 1977–78 IRS Data

Table 6 Breakdown of Foundations by Grant Categories

Grant Category	No. of Foundations	Grants	Assets
$25 million +	8	$ 379,457,660	$ 7,053,076,000
$10 million–$24,999,999	10	163,801,040	2,121,450,400
$5 million–$9,999,999	37	237,370,400	3,296,337,200
$1 million–$4,999,999	298	590,629,180	8,393,454,100
$500,000–$999,999	352	244,952,580	3,355,543,800
$100,000–$499,999	1,970	421,936,480	5,516,645,400
$50,000–$99,999	1,719	120,848,180	1,770,437,400
$25,000–$49,999	2,415	84,244,384	1,384,412,300
$5,000–$24,999	7,372	88,351,648	1,616,176,000
Under $5,000	7,971	15,544,134	860,940,480
TOTALS:	22,152	$2,347,129,150	$35,368,568,105

NOTE: Details may not add to totals because of rounding.

SOURCE: The Foundation Center, 1977–78 IRS Data these interests and their application requirements publicly available through annual reports or brochures. The existence of staff generally allows them to participate in seminars, address conferences, and respond to requests from the public for more information about the foundation field and their particular foundation. All of these factors lead to greater visibility for the larger, staffed foundations. This visibility and ease of access also means greater numbers of proposals and increased competition for their grants. Because of the great range of proposals they receive, large foundations can be highly selective even within their own narrowly defined areas of interest. Wishing to maximize their investments, they tend to be particularly interested in funding model or prototype projects with national impact in particular fields.

Smaller foundations are generally more oriented toward giving in their own geographic area, which they may define as their city, county or state. Within their geographic boundaries, however, they often support a wide range of activities. Though their grants are smaller, they are more likely to give general budgetary support and may also be inclined to continue their support for a longer period of time. With these foundations, geographic location will generally be a more significant factor than the subject focus of a proposal. The lack of staff and the nature of operating a philanthropic organization within a specific community combine to make personal contact with foundation board members more significant in dealing with small foundations.

PUBLIC ACCESSIBILITY

Most differences in the public accessibility of foundations are a direct result of the presence of paid professional staff. Even among the large foundations there are very few with paid staff. The last comprehensive study of foundation staffing patterns was included in *The Foundation Administrator* by Arnold Zurcher and Jane Dustan, published in 1972. Zurcher and Dustan found that 212 foundations had one or more full-time professional staff. About 140 additional foundations had part-time staff above the clerical level, for a grand total of less than 1.5 percent (352) of all foundations with any type of staffing. They also found that more than half of the total number of full-time foundation staffers worked at 13 of the very largest foundations.

A recent Foundation Center survey of the 3,400 largest foundations found 626 reporting some type of staffing, including professional and support personnel. Of this total, 220 foundations reported only full-time staff, 220 had only part-time staff, and 186 had a combination of full and part-time employees. The number of full-time foundation employees reported by this group totaled 3,049, plus 1,223 additional part-time staff. These figures represent a growing commitment among foundations to professional staffing aimed at improved grantmaking. Foundations with paid staff can do a wide range of things which voluntary boards of trustees generally don't have the time to accomplish, including interviews with prospective grantees, site visits, proposal review, investigation and analysis, and post-grant evaluation.

These figures only reflect staff at foundations voluntarily responding to a Foundation Center questionnaire. While staffed foundations are generally more cooperative in responding to requests for information, some have undoubtedly been omitted. One purely statistical approach to estimating the number of foundations with paid staff is to compare foundation expenditures with foundation grant totals. Once all grants, awards, prizes, scholarships, fellowships, and foundation-operated programs are subtracted from total foundation expenditures, the amount remaining gives you an idea of internal administrative expense. Using $30,000 as a minimum remaining expenditure for a staffed foundation, we find that there are currently 1,217 foundations meeting that criteria. The best estimate of the total number of staffed foundations would probably fall somewhere between the 626 accounted for in the Center's survey and the 1,200 plus whose annual expenditures exceed the total of their grants and programs by more than $30,000.

While these totals are encouraging because of the apparent trend toward increased foundation staffing, grantseekers will be most interested in the staff situation at the foundations they intend to approach. When your research uncovers no firm evidence regarding a particular foundation's staff situation, you can follow these general assumptions:

1. Community foundations usually have staff of some type.
2. Most company-sponsored foundations have at least a part-time company employee assigned to administer charitable giving, if the foundation does not have a separate staff.
3. There are a handful of very large foundations with good sized staffs, including experts in the fields of foundation involvement.
4. There are several hundred foundations staffed by a single full-time or part-time staff person, with perhaps a secretary.
5. Over 95 percent of all active private foundations are operated and administered by their boards of trustees, generally volunteers with very active careers and a wide range of extracurricular activities, leaving minimal time available for foundation activities.

To the grantseeker, the presence of foundation staff means a number of things. You will probably be able to find a telephone number for the foundation to call for information, application guidelines, annual reports, or the names of appropriate staff. Your initial inquiry to a staffed foundation is probably best submitted in the form of a brief letter of inquiry describing your organization and the project for which you're seeking funds. Staff can review such inquiries quickly and request full proposals when they are interested. Interviews, site visits, and consultations with foundation staff will probably precede any decision on your proposal. Staff may make suggestions for changes or modifications in a proposal before a grant is made. It is likely that the foundation will require some type of reporting on the project's progress and foundation staff may follow up after a grant is made with visits, calls, suggestions, or inquiries. Even if your proposal is not ultimately funded, you may profit from the experience of dealing with foundation staff. When you've done your homework and approached a foundation with a documented interest in your field that for some reason is unable to fund your project, you might be advised to submit another proposal in the future for the same or a new project. You may receive helpful suggestions on other possible funding sources, or you may learn exactly where your proposal went wrong and be able to correct the problem in the future.

Foundations with staff tend to hold board meetings more frequently, and this may lead to quicker decisions on proposals submitted. At the same time, there will be a greater amount of foundation input into your program plans, and requested adaptations may ultimately delay your plans more than a straight yes or no vote at board meetings held less frequently.

If you are approaching a foundation without staff, keep in mind that there is probably no one monitoring applications, grants, or programs on a full-time basis. Expect to have less direct contact throughout the whole application process and grant period. It is safest to submit a full proposal with your initial letter so it may be reviewed without delay whenever the board next meets. Try to learn the dates of board meetings so you can time your proposal submission. You don't want to send in your proposal two weeks after the annual meeting.

If you do receive a grant, the main difference between staffed and unstaffed foundations will be the level of continuing interaction between grantor and grantee. Follow-up, reporting, and evaluation procedures will be fairly common with staffed foundations. Whether requested or not, however, grantees should always acknowledge and thank a foundation upon notification of their grant's approval and submit a full report on the results of the grant.

RESEARCH STRATEGY

It is easier to learn about larger foundations for a variety of reasons. Most larger foundations publish materials describing their interests and activities. More than 400 foundations issue annual reports, and these are usually the most complete source of information on a foundation. Over 94 percent of the foundations currently publishing such reports can be considered large foundations, with assets of more than $1 million or making annual grants totaling over $100,000. Published directories also focus on the larger foundations, describing anywhere from 100 to 3,000 of the top foundations, depending on the publication's criteria. Newspaper articles and journals which discuss foundation-related subjects generally focus on the largest foundations. It is usually best to begin researching large foundations by the subject areas in which they have made grants or stated an interest. Your research strategy will be to identify all large foundations with a demonstrated interest in your subject area and then thoroughly investigate each of them to be sure the particular project fits their general funding pattern in terms of the: (1) size of grant; (2) geographic location of project; (3) type of support needed; and (4) type of recipient organization.

If your project seems more likely to fit the interests of a smaller foundation because of the size of the grant request or the local focus of the project, your research strategy will begin with the development of a complete list of all foundations that are located or make grants in your geographic area. The next step will be to investigate each foundation in your area to find those that: (1) make grants of a size that fits your need; (2) make grants for the type of support you are seeking; (3) are not restricted to funding particular organizations; and (4) are not restricted to subject areas of giving other than your own.

RESOURCES

If you are researching large foundations, you will be concentrating your research efforts on the following resources:

1. Foundation annual reports.
2. Foundation brochures, newsletters, news releases, and other published information.
3. Foundation Center publications, including *Source Book Profiles, The Foundation Directory, COMSEARCH Printouts: Subjects*, and *The Foundation Grants Index*.
4. Other published directories and reference books.
5. Available state or local foundation directories or indexes.

If you are looking for smaller foundations, your research will be limited to fewer resources, and there will be far less information available about each foundation. The basic tools you will be using are:

1. Foundation Center publications, including *The National Data Book*, and *COMSEARCH Printouts: Geographic*.
2. Available state or local foundation directories or indexes.
3. IRS foundation information returns.

Chapter 4

Who Gets Grants?

This guide presents the facts on getting grants for nonprofit organizations because nonprofits get the overwhelming majority of foundation dollars. If you are not affiliated with a nonprofit organization, most of the procedures outlined here will not apply to you. The following suggestions are offered to provide some alternative funding possibilities for individuals and organizations that lack official nonprofit status.

Individuals

If you are an individual looking for a grant, you have several options. First, you can try to learn if there are any foundations that make awards to individuals for the type of assistance you need. The Foundation Center's research indicates that about 950 of the approximately 22,000 active private foundations are currently making awards directly to individuals. Their programs are described in the Center's directory, *Foundation Grants to Individuals*. Well over 50 percent of the awards made by these foundations are for educational assistance, including scholarships, fellowships, and loans. Individuals seeking educational aid should also check with the financial aid office at their school for additional information.

IRS regulations require foundations which have grants to individuals programs to submit their selection criteria for review and approval. This is probably one of the main factors contributing to the relative scarcity of foundations making such grants. Another reason is the additional record-keeping necessary because of the follow-up rules which require the foundation to be sure that the grants made are used for the stated purposes.

The second option for individuals applies to those seeking funds for research or special projects rather than money for their education. Professionals such as scientists, artists, or sociologists with ideas for programs should consider affiliating with a nonprofit organization in their field which can act as a sponsor for a foundation grant. Universities, hospitals, churches, schools, arts organizations, and theaters are just a few of the many types of nonprofits that have acted as umbrellas for receiving foundation grants to be channeled to specific individual recipients.

Individuals should also consider the other funding sources available to them. Foundation Center libraries contain information about federal grantmaking agencies such as the National Endowment for the Arts and National Institutes of Health, state arts councils, and other awards and honors programs. There are many publications which deal with the whole range of funding sources in particular fields, including: P.E.N., *Grants and Awards for American Writers*; Washington International Arts Letter, *Grant and Aid to Individuals in the Arts*; American Historical Association, *Fellowships and Grants of Interest to Historians*; Artists Foundation, *Money Business: Grants and Awards for Creative Artists*; Music Educators National Conference, *Post-Baccalaureate Grants and Awards in Music*; American Photographic Book Publishing Co., *Grants in Photography—How to Get Them*; Film Grants Research, *How to Get Grants to Make Films & Video*; New Trans Century Foundation, *Funding Sources for Women in Development Projects*; and the American Association for State and Local History's *Funding Sources and Technical Assistance in Museums and Historical Agencies*.

Profit-making Organizations

Foundations can also make grants to profit-making organizations. A few large foundations sometimes make what they call "program-related investments" (PRI) which are predominantly loans or investments aimed at furthering the foundation's charitable purposes in such areas as health care or low-income housing. PRI's are generally intended to increase low-income and minority ownership of business and property. The development and strengthening of financial and investment institutions within these communities and the persuasion of other capital sources to invest more of their resources in such communities are important components of PRI programs.

Review the annual reports of the largest foundations, particularly that of the Ford Foundation, to identify those with an interest in such investments and to learn more about this form of funding. Another source of information is the Cooperative Assistance Fund, 2021 K Street, N.W., Suite 701, Washington, D.C. 20006. It is an economic development vehicle in which ten foundations cooperate by pooling a portion of their resources to make program-related investments in ventures designed to improve the economy of disadvantaged communities.

The following foundations have also reported to the Center an interest in or history of making program-related investments. Their addresses are listed in *The Foundation Directory*, and you should write to them individually for more information about their programs. They include: Axe-Houghton

Foundation (NY), BankAmerica Foundation (CA), Beazley Foundation (VA), Bemis Company Foundation (MN), William Bingham Foundation (OH), Broad Street Foundation (NY), Edyth Bush Charitable Foundation (FL), Patrick and Aimee Butler Family Foundation (MN), Gardner and Florence Call Cowles Foundation (IA), Dellwood Foundation (MN), Deluxe Check Printers Foundation (MN), Mary J. Donnelly Foundation (PA), William H. Donner Foundation, Inc. (NY), Camille and Henry Dreyfus Foundation (NY), Ford Foundation (NY), Eva Gebhard-Gourgaud Foundation (NY), Gillette Charitable and Educational Foundation (MA), Grede Foundation, Inc. (WI), Howard Heinz Endowment (PA), M.S. Hershey Foundation (PA), Houdaille Foundation (FL), Indianapolis Foundation (IN), Inland Steel-Ryerson Foundation (IL), Jackson Hole Preserve, Inc. (NY), Andrew Jergens Foundation (OH), Calvin K. Kazanjian Economics Foundation, Inc. (CT), Harris and Eliza Kempner Fund (TX), McAdenville Foundation, Inc. (NC), Charles Stewart Mott Foundation (MI), Needmor Fund (OH), New Hampshire Charitable Fund (NH), Northwest Area Foundation (MN), A. Lindsay and Olive B. O'Connor Foundation (NY), Frank Loomis Palmer Fund (CT), Powell Family Foundation (KS), Prudential Foundation (NJ), George H. Sandy Foundation (CA), Schlang Foundation, Inc. (NY), Marjorie Mosher Schmidt Foundation (CA), Sears-Roebuck Foundation (IL), Shalan Foundation (CA), Harvey L. Sorensen and Maud C. Sorensen Foundation (CA), Taconic Foundation (NY), Vollmer Foundation (NY), Wieboldt Foundation (IL), and Williamsport Foundation (PA).

HOW TO ESTABLISH A NONPROFIT ORGANIZATION

If you have decided to organize as a nonprofit or wish to investigate the ramifications of tax-exempt status, you will need to consult an attorney. Prior to consulting a lawyer, preferably one with nonprofit experience, you should read Department of the Treasury Internal Revenue Service Publication 557, *How to Apply for and Retain Exempt Status for Your Organization*. You can obtain copies from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 for $1.20 or directly from the IRS district offices (see Table 8 for addresses).

Foundations will want to see a copy of your IRS exemption letter as a first step in considering any proposal. Table 7 lists the various exemption classifications used by IRS. While most grantseeking organizations are classified as "501 (c) (3)," the designation you receive will depend on a number of factors. If you intend to solicit foundation support, it is extremely important that your designation allows for deductible contributions. The "contributions allowable" column on the far right of Table 7 will give you some guidance as to which classifications allow for such contributions.

Exemption applications, Form 1023, or questions on procedures should be sent to the IRS offices indicated in Table 8. Both Tables 7 and 8 are reproduced with permission from the IRS booklet, *How to Apply for and Retain Exempt Status for Your Organization*.

Table 7 IRS Tax Exemption Classifications

Organization Reference Chart

Section of 1954 Code	Description of organization	General nature of activities	Form No.	Annual return required to be filed	Contributions allowable
501(c)(1)	Corporations Organized Under Act of Congress (including Federal Credit Unions)	Instrumentalities of the United States	No Form	None	Yes, if made for exclusively public purposes
501(c)(2)	Title Holding Corporation For Exempt Organization	Holding title to property of an exempt organization	1024	990[1]	No[2]
501(c)(3)	Religious, Educational, Charitable, Scientific, Literary, Testing for Public Safety, Foster Certain National or International Amateur Sports Competition, or Prevention of Cruelty to Children or Animals Organizations	Activities of nature implied by description of class of organization	1023	990 or 990-PF[1]	Generally Yes
501(c)(4)	Civic Leagues, Social Welfare Organizations, and Local Associations of Employees	Promotion of community welfare, Charitable, educational or recreational	1024	990[1]	Generally No[2,3]
501(c)(5)	Labor, Agricultural, and Horticultural Organizations	Educational or instructive, the purpose being to improve conditions of work, and to improve products and efficiency	1024	990[1]	No[2]
501(c)(6)	Business Leagues, Chambers of Commerce, Real Estate Boards, Etc	Improvement of business conditions of one or more lines of business	1024	990[1]	No[2]
501(c)(7)	Social and Recreation Clubs	Pleasure, recreation, social activities	1024	990[1]	No[2]
501(c)(8)	Fraternal Beneficiary Societies and Associations	Lodge providing for payment of life, sickness, accident, or other benefits to members	1024	990[1]	Yes, if used for Sec 501(c)(3) purposes
501(c)(9)	Voluntary Employees' Beneficiary Associations (Including Federal Employees' Voluntary Beneficiary Associations formerly covered by section 501(c)(10))	Providing for payment of life, sickness, accident or other benefits to members	1024	990[1]	No[2]
501(c)(10)	Domestic Fraternal Societies and Associations	Lodge devoting its net earnings to charitable, fraternal, and other specified purposes. No life, sickness, or accident benefits to members	1024	990[1]	Yes, if used for Sec 501(c)(3) purposes

501(c)(11)	Teachers Retirement Fund Associations	Teachers' association for payment of retirement benefits	No Form	990[1]	No[2]
501(c)(12)	Benevolent Life Insurance Associations, Mutual Ditch or Irrigation Companies, Mutual or Cooperative Telephone Companies, Etc	Activities of a mutually beneficial nature similar to those implied by the description of class of organization	1024	990[1]	No[2]
501(c)(13)	Cemetery Companies	Burials and incidental activities	1024	990[1]	Generally Yes
501(c)(14)	State Chartered Credit Unions, Mutual Reserve Funds	Loans to members. Exemption as to building and loan associations and cooperative banks repealed by Revenue Act of 1951, affecting all years after 1951	No Form	990[1]	No[2]
501(c)(15)	Mutual Insurance Companies or Associations	Providing insurance to members substantially at cost	1024	990[1]	No[2]
501(c)(16)	Cooperative Organizations to Finance Crop Operations	Financing crop operations in conjunction with activities of a marketing or purchasing association	No Form	990[1]	No[2]
501(c)(17)	Supplemental Unemployment Benefit Trusts	Provides for payment of supplemental unemployment compensation benefits	1024	990[1]	No[2]
501(c)(18)	Employee Funded Pension Trust (created before June 25, 1959)	Payment of benefits under a pension plan funded by employees	No Form	990[1]	No[2]
501(c)(19)	Post or Organization of War Veterans	Activities implied by nature of organization	1024	990[1]	Yes
501(c)(20)	Group Legal Services Plan Organizations	Providing prepaid personal (nonbusiness) legal services for employees	1024	990[1]	No[4]
501(c)(21)	Black Lung Benefit Trusts	Payment of benefits under a plan funded by coal mine operators	No Form	990-BL	No[5]
501(d)	Religious and Apostolic Associations	Regular business activities. Communal religious community	No Form	1065	No[2]
501(e)	Cooperative Hospital Service Organizations	Performs cooperative services for hospitals	1023	990[1]	Yes
501(f)	Cooperative Service Organizations of Operating Educational Organizations	Performs collective investment services for educational organizations	1023	990[1]	Yes

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[1] For exceptions to the filing requirement, see Part I, Chapter 3 and the instructions for Forms 990 and 990-AR.

[2] An organization exempt under a Subsection of Code Sec. 501 other than (c)(3), may establish a charitable fund, contributions to which are deductible. Such a fund must itself meet the requirements of section 501(c)(3) and the related notice requirements of section 508(a)

[3] Contributions to volunteer fire companies and similar organizations are deductible, but only if made for exclusively public purposes

[4] See Part III, Chapter 8

[5] Deductible as a business expense to the extent allowed by section 192 of the Code

Table 8 IRS Key District Offices

Where to Send Application

If the principal place of business or office of the organization is in one of the districts or locations shown ▼	Send your application to the District Director for the Key District listed below ▼
Atlanta, Greensboro, Columbia, Nashville	Internal Revenue Service EP/EO Division, P O Box 632 Atlanta, Georgia 30301
Austin, Cheyenne, Denver, Albuquerque, New Orleans	Internal Revenue Service EP/EO Division, P O Box 2135 Austin, Texas 78767
Baltimore (which includes the District of Columbia), Pittsburgh, Richmond, any U S possession, or a foreign country	Internal Revenue Service EP/EO Division, P O Box 13163 Technical and Service Staff Baltimore, Maryland 21203
Boston, Burlington, Portsmouth, Augusta, Hartford, Providence	Internal Revenue Service EP/EO Division, P O Box 9081, J F K Post Office Boston, Massachusetts 02203
Brooklyn, Albany, Buffalo	Internal Revenue Service EP/EO Division, P O Box 1680 General Post Office Brooklyn, New York 11202
Chicago	Internal Revenue Service EP/EO Division, P O Box A-3617 Chicago, Illinois 60690
Cincinnati Indianapolis, Louisville	EP/EO Division, P O Box 2508 Cincinnati, Ohio 45201
Cleveland, Parkersburg	Internal Revenue Service EP/EO Division, P O Box 99187 Cleveland, Ohio 44199
Dallas, Little Rock, Oklahoma City, Wichita	Internal Revenue Service EO2, Code 309, 1100 Commerce St Dallas, Texas 75242
Detroit	Internal Revenue Service EP/EO Division, P O Box 32509 Detroit Michigan 48232
Jacksonville, Birmingham, Jackson	Internal Revenue Service EP/EO Division, P O Box 35045 Jacksonville Florida 32202
Los Angeles, Honolulu, Phoenix	Internal Revenue Service EP/EO Division P O Box 2350 Los Angeles, California 90053
Manhattan	Internal Revenue Service EP/EO Division P O Box 3200 Church Street Station New York, New York 10008
Newark	Internal Revenue Service EP/EO Division, P O Box 260 Newark, New Jersey 07101
Philadelphia, Wilmington	Internal Revenue Service EP/EO Division, P O Box 12821 Philadelphia, Pennsylvania 19106
San Francisco, Reno, Salt Lake City	Internal Revenue Service EP/EO Division Box 36001, 450 Golden Gate Ave San Francisco, Calif 94102
Seattle, Anchorage, Boise, Helena, Portland	Internal Revenue Service EP/EO Division, P O Box 21224 Seattle, Washington 98111
St Louis, Des Moines, Omaha, Springfield	Internal Revenue Service EP/EO Division, Group 7206 P O Box 1123, Central Station St Louis, Missouri 63188
St Paul, Aberdeen, Fargo, Milwaukee	Internal Revenue Service EP/EO Division Group 1902 316 N Robert Street St Paul, Minnesota 55101

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There are a whole range of issues you should consider before deciding how to structure your organization. Among the books available on establishing and operating a nonprofit organization are *The Nonprofit Organization Handbook*, *The Law of Tax Exempt Organizations*, *Nonprivate Foundations: A Tax Guide for Tax Exempt Organizations*, and *How to Form Your Own Nonprofit Corporation in One Day*.

Section II

How to Find the Facts You Need to Get a Grant

Chapter 5

Finding the Right Foundation

HOMEWORK IS THE KEY

Foundations do not generally issue announcements or lists of grants they will be awarding in the coming months or year, so how do you find out if there are any foundations that might be interested in your project or organization? Foundations generally make awards by selecting from the proposals submitted to them those most closely related to their interests and objectives. The fact is that it takes serious, time-consuming research to track down the foundations whose giving records or stated objectives are most directly related to your goals.

In the face of this hard truth, some grantseekers decide to let the law of averages do their work for them. They mail copies of their proposal to some easily targeted groups, such as the largest foundations in the country or in their state or foundations whose names can be readily found in a newspaper article or a book. There is no way to overemphasize the fact that this mass mailing approach just doesn't work. Foundations are only too aware of this technique, and the groups that use it do their cause no good. It's not only a waste of effort and postage, it can damage your reputation as well. So do your homework carefully, and be sure it shows. Explore all of the resources described in this guide, and let the foundations you approach know exactly why you feel your program matches their interests.

Developing Your Prospect List

Grantseekers generally look for two kinds of information about foundations. First, they are interested in finding out which foundations might be likely to fund their organization or a particular project they have in mind. Research strategies will vary depending on whether the most likely prospects are larger, staffed foundations or smaller, more locally-oriented foundations. But all grantseekers should be sure to do both a subject search to identify foundations with an interest in their field and a geographic search to pinpoint the local foundations that might fund them because of their location or their program. If your proposal is more likely to be of interest to a larger foundation, you'll probably find more good prospects using the subject-oriented research strategy and should begin with that approach. If you feel your proposal is more appropriate for a smaller foundation, you'll have better luck with the geographic approach and should start with it. As your research uncovers prospects of potential interest, note the names of the foundations that you want to investigate further. Also make note of their state location because many reference sources are arranged by state and having that information at your disposal will speed your research.

Finding Out More About Your Prospects

The second kind of information grantseekers need is the detailed descriptive and financial data which give them a clear picture of each of their foundation prospects. Most organizations that seek grants develop careful records on each of the foundations identified by their research as a potential contributor. These records contain all of the vital facts on each prospect: address, telephone number, trustees, staff, financial data, background, funding pattern, sample grants, prior contacts with their organization, etc. Once these records are established and updated on a regular basis, they will provide a solid, centralized base of funding information for the organization. Developing such a system helps to compensate for one of the biggest problems nonprofits traditionally face—high staff turnover and the concomitant lack of continuity in fundraising efforts.

Chapter 6

How to Find Foundations with an Interest in Your Subject Field

WHEN SUBJECT RESEARCH IS MOST HELPFUL

All nonprofits will find a subject approach useful to learn which foundations are active in their fields of interest. Because good subject indexing of foundation interests and grants is generally available only for the larger foundations, your proposal should be of a size and scope to be attractive to that type of foundation before you can realistically expect this process to identify funding sources. In other words, it would be helpful for a community theater group to know which of the largest foundations in the country are active in the arts and the theater, but if they are currently in need of $1,000 for a piano, they'll quickly see that those foundations are not likely to provide that type of support. On the other hand, if that same theater group at some future time designs a program to train minority youth for careers in the theater or a project aimed at exposing underprivileged children to theater classics, they might be able to interest some of those big foundations. So keep in mind that research on the giving interests of foundations will focus primarily on the larger foundations.

Foundation subject interests are expressed in two broad ways: what a foundation says it does and what it actually did. Foundations describe their giving priorities in their annual reports, newsletters, program pamphlets, and brochures. Publishers in the field describe the giving interests of specific foundations in their directories, indexes, computer printouts, pamphlets, and books. These statements of giving interests provide useful guidelines to the grants a foundation is likely to make, but be sure to check the descriptions of foundation interest and priorities against actual giving records to get the full picture. Often foundation program statements are left purposely broad in order to allow for future shifts in emphasis. Statements of program interest are developed to last for substantial time periods, but actual grantmaking priorities may change subtly as the needs or problems shift in a field. Many foundations have such broad statements of purpose it will be impossible for you to know whether to approach them without examining their full giving record. Statements like "general charitable giving" and "to promote human welfare" don't really mean that a foundation will make grants for any purpose at all. Examining descriptions of recent foundation grants generally provides more specific and current information about funding priorities.

Summary of Research Steps

There are a variety of special resources which can help you develop the broadest possible list of foundation prospects based on the subject focus of your proposal. As you research each prospect (Chapter 8), you will narrow the list, eliminating foundations whose limitations rule out your proposal for one reason or another. While it's best to develop a research style suited to your needs and priorities, experience has led Foundation Center library staff to recommend the sequence of investigation outlined in Figure 1. You will be using two types of reference books: indexes of foundation grants and directories describing foundation interests. Each resource mentioned here is described more fully in the "Details on the Sources" section which follows.

Indexes to Foundation Grants

First, examine indexes to foundation grants made in the recent past and make a note of those foundations whose grants indicate a potential interest in your subject field or type of organization. These indexes include:

1. *COMSEARCH Printouts* (Foundation Center publication) are computer-produced listings of foundation grants in 60–70 major giving categories. Select from the list of categories those which are relevant to your proposal and cull the names of foundations making grants for programs or to organizations which are similar in some way to yours.
2. *The Foundation Grants Index Annual* (Foundation Center publication) lists about 18,000–20,000 foundation grants reported in the prior year. You can look up foundation grants by the subject of the grant, by the key words or phrases contained in a description of the grants, and by the names of grant recipients. You can also examine a full list of grants in all subject areas for about 400 large foundations, including all of the top 100. *COMSEARCH Printouts* are subject compilations of grants contained in the *Annual*, so choose whichever format is best suited to your research needs.
3. *Foundation Grants Index Bimonthly* (Foundation Center publication) is a current-awareness tool listing about 2,000 recent foundation grants which appears every other month in the journal *Foundation News*. It includes a listing of grants arranged by foundation and

provides recipient and key-word indexes, so it can be used in the same way as *The Foundation Grants Index Annual*. Because of its frequency, it is an excellent tool for updating your prospect list.

Directories of Foundations

To expand your prospect list, turn to the subject indexes contained in all of the directories of foundations which are available to you. Include local foundation directories as well as national ones, and be especially alert for special subject directories published in your field. In general, you will find indexes to foundation grants provide far more specific subject references because they are classifying actual grant programs. Directories of foundations usually use very general terminology to describe foundation program interests and therefore the subject indexing is equally general. These directories include the following:

1. *Foundation Center Source Book Profiles* (Foundation Center publication) is a looseleaf service providing detailed analyses of 3-6 pages each of the largest 1,000 foundations. For subject research, its Index of Subjects (i.e., Education, Youth) and Index of Types of Support (i.e., Buildings, Loans, Seed money) are particularly useful.
2. *The Foundation Directory* (Foundation Center publication) is the most heavily used reference book in the field. It provides descriptions of all foundations with assets of more than $1 million or making annual grants exceeding $100,000. The Seventh Edition covers approximately 3,100 foundations. An Index to Fields of Interest provides access to the general subject interests of this large foundation universe, representing over 90 percent of all foundation assets and grants.
3. *State or Local Foundation Directories* are available for about 40 states and several cities. They vary a good deal in content and quality, and some of them do have subject indexing. A bibliography of currently available state and local directories can be found in Appendix E. Be sure to examine any directories which include your area. The best of the local directories will serve as the primary research tool for their area, and even the less comprehensive ones generally provide some useful information.
4. *General Funding Directories*. There are a number of other foundation directories available from both commercial and nonprofit publishers. When possible, your research should encompass all available pertinent reference books. However, most of your viable prospects will probably be uncovered in the tools described to this point.
5. *Specialized Funding Directories*. There are a number of resources available which focus on the whole range of funding sources, including foundations in particular subject fields. Review those mentioned in this chapter and check with your colleagues to learn about others related to your field. A number of periodicals and newsletters,

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particularly those from associations, have begun to do regular features or columns concerning funding possibilities in their field, so be sure to check for such listings in your professional literature.

This summary and the diagram in Figure 1 provide an overview of the subject research strategy. For more information on the individual tools or additional details on the research process, read the "Details on the Information Sources" section which follows and review the "Sample Subject Search" in Appendix A. Remember the subject search will produce a wide-ranging list of potential sources. All of the foundations on that list will have to be researched thoroughly (see Chapter 8) to verify their actual suitability and to select those that are most appropriate for you to approach.

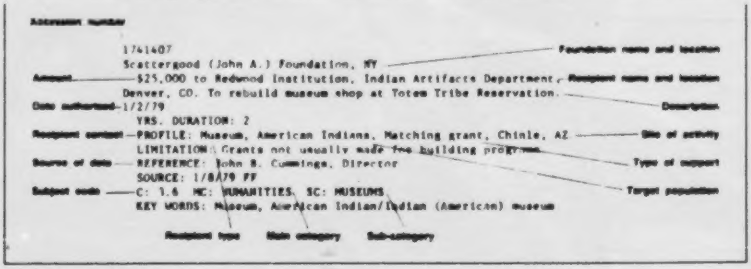
DETAILS ON THE INFORMATION SOURCES

Indexes to Foundation Grants

The Foundation Center maintains a computer database of grants information based on the grants reported to it by about 400 to 500 major foundations. All of the top 100 foundations are included. All reported grants of $5,000 or more made to nonprofit organizations are indexed and added to the Foundation Grants Index Database. This database currently contains more than 90,000 records dating from 1973 to the present. About 2,000 new grants are reported and incorporated every other month.

Though it is not comprehensive, the Foundation Grants Index Database represents the best available index to the recent grants of major foundations. Because the information is automated, the Center is able to produce it in several forms. In each publication using Foundation Grants Index Database information, regardless of its arrangement or structure, the grant description is the same. A typical grant record includes: the amount of the grant, the name and location of the recipient organization, the date the grant was authorized, and a description of the grant.

Figure 2 Grants Index Database Record

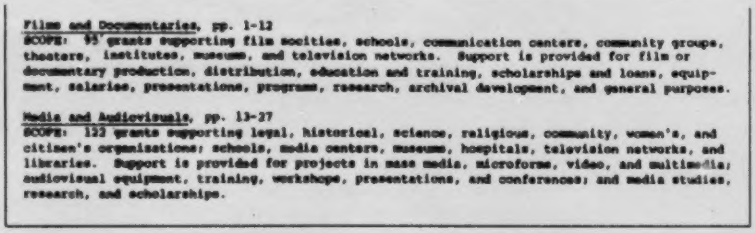

Accession number
Foundation name and location
Amount
Recipient name and location
Description
Date authorized
Recipient context
Site of activity
Type of support
Source of data
Target population
Subject code
Recipient type
Main category
Sub-category

```
1741407
Scattergood (John A.) Foundation, NY
$25,000 to Redwood Institution, Indian Artifacts Department,
Denver, CO. To rebuild museum shop at Totem Tribe Reservation.
1/2/79
  YRS. DURATION: 2
  PROFILE: Museum, American Indians, Matching grant, Chinle, AZ
  LIMITATION: Grants not usually made for building programs
  REFERENCE: John B. Cummings, Director
  SOURCE: 1/8A79 FF
  C: 3.6  MC: HUMANITIES  SC: MUSEUMS
  KEY WORDS: Museum, American Indian/Indian (American) museum
```

COMSEARCH Printouts: Subjects. The first Grants Index Database publication you should check is the Subject Series of *COMSEARCH Printouts*. Each spring The Foundation Center produces *COMSEARCH Printouts* in about 70 different subject areas. Each printout lists all foundation grants over $5,000 in the particular category which were reported to the Center during the preceding year. *COMSEARCH Printouts* range from 25 to 50 pages long and contain approximately 400 to 600 grants each. A list of current *COMSEARCH* categories is provided in Table 9.

When you begin your research, check the list of subject categories to determine which printouts would be most applicable to your project. If you are uncertain about the relevance of a particular category, the scope notes on the title page of each *COMSEARCH* (Figure 3) provide more specific descriptions of the number and type of grants included in the printout.

Figure 3 COMSEARCH Scope Notes

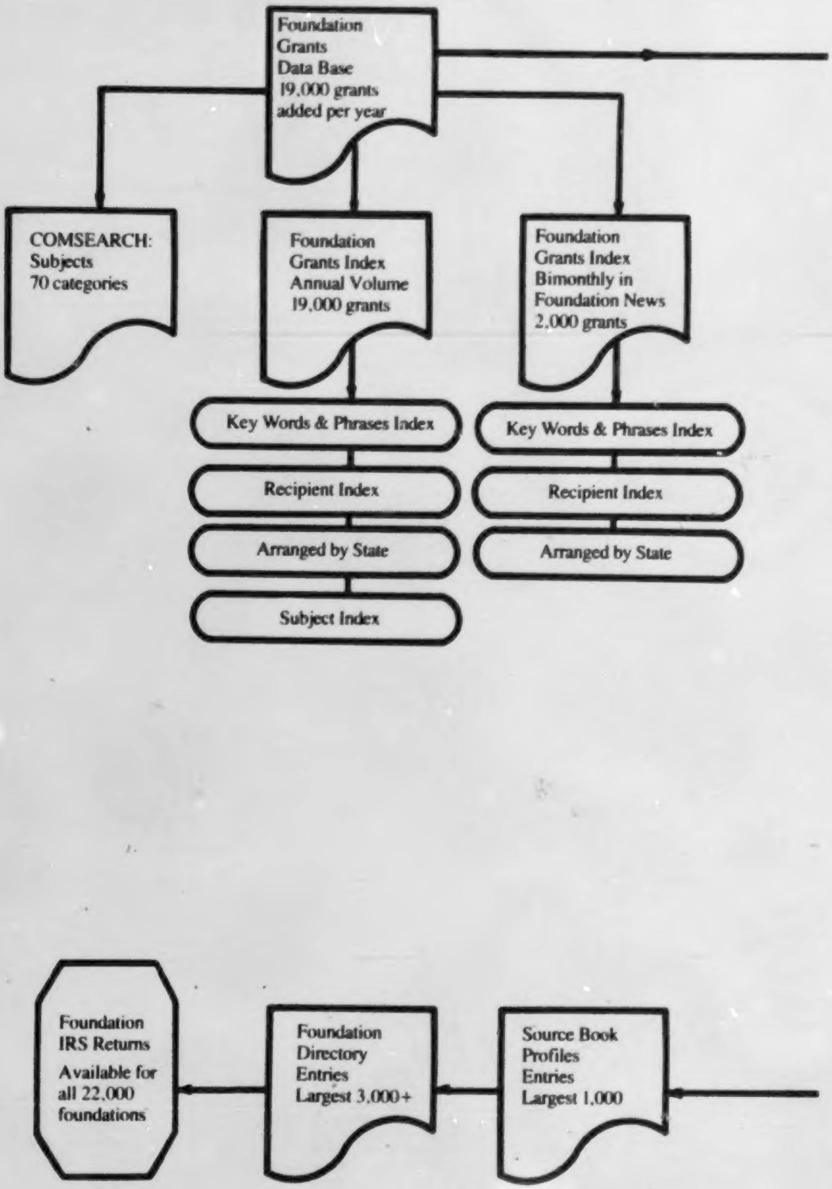


Films and Documentaries, pp. 1-12
SCOPE: 95 grants supporting film socities, schools, communication centers, community groups, theaters, institutes, museums, and television networks. Support is provided for film or documentary production, distribution, education and training, scholarships and loans, equipment, salaries, presentations, programs, research, archival development, and general purposes.

Media and Audiovisuals, pp. 13-27
SCOPE: 122 grants supporting legal, historical, science, religious, community, women's, and citizen's organizations; schools, media centers, museums, hospitals, television networks, and libraries. Support is provided for projects in mass media, microforms, video, and multimedia; audiovisual equipment, training, workshops, presentations, and conferences; and media studies, research, and scholarships.

You will want to review all of the grants listed in the printouts you select to identify foundations which have funded projects that are similar to yours. Approach your research creatively, looking for any evidence of similarities between your project and the projects listed. In addition to the subject area and type of activity, consider the type and size of the recipient organization, the potential audience, geographic location, and budget. You are not looking for a foundation that has funded an exact replica of your proposal, but one whose grants reflect an interest in projects like your own.

Figure 1 Subject Research Strategy: Finding the Foundations with an Interest in Your Subject Field


Foundation Grants Data Base 19,000 grants added per year
COMSEARCH: Subjects 70 categories
Foundation Grants Index Annual Volume 19,000 grants
Foundation Grants Index Bimonthly in Foundation News 2,000 grants
Key Words & Phrases Index
Recipient Index
Arranged by State
Subject Index
Key Words & Phrases Index
Recipient Index
Arranged by State
Foundation IRS Returns Available for all 22,000 foundations
Foundation Directory Entries Largest 3,000+
Source Book Profiles Entries Largest 1,000

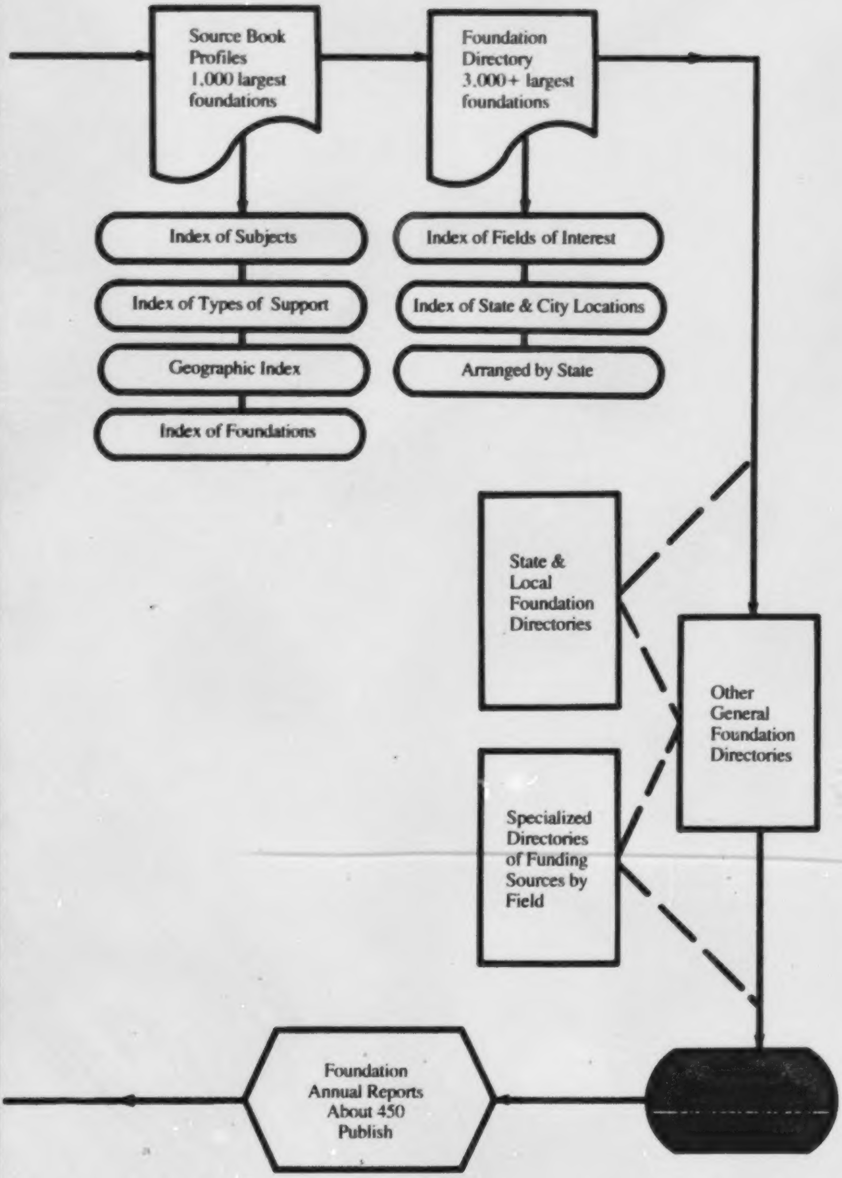

Source Book Profiles 1,000 largest foundations
Foundation Directory 3,000+ largest foundations
Index of Subjects
Index of Types of Support
Geographic Index
Index of Foundations
Index of Fields of Interest
Index of State & City Locations
Arranged by State
State & Local Foundation Directories
Other General Foundation Directories
Specialized Directories of Funding Sources by Field
Foundation Annual Reports About 450 Publish

Table 9 1979 COMSEARCH Subject Categories

Communications

1. Films, Documentaries, Media & Audiovisuals
2. Television, Radio & Communications
3. Journalism & Publishing

Education

16. Public Primary & Secondary Education
17. Independent Primary & Secondary Education
18. Higher Education — Buildings & Equipment
19. Higher Education — General Support
20. Higher Education — Special Projects
21. Higher Education — Scholarships
22. Higher Education — Fellowships
23. Libraries
24. Educational Research
25. Vocational Counseling, Career & Adult Education
26. Educational Associations
27. Educational Administration & Personnel Development
28. Higher Ed — Loans & Other Student Aid

Health

31. Medical Education
32. Medical Research
33. Dentistry & Nursing
34. Hospitals — Buildings & Equipment
35. Hospitals — Programs
36. Medical Care & Rehabilitation
37. Mental Health
38. Public Health
39. Alcoholism & Drug Abuse

Humanities

46. Art & Architecture
47. Theater & Performing Arts
48. Music
49. Museums
50. Historical Projects
51. Dance

Population Groups

61. Aged
62. Handicapped
63. Women
64. Minorities — General
65. Blacks
66. Native Americans, Hispanics & Orientals

Physical & Life Sciences

75. Biology & Nutrition
76. Agriculture
77. Chemistry, Physics & Math
78. Environmental Programs
79. Computer Technology & General Technology
80. Energy
81. Engineering

Social Sciences

85. Business
86. Economics
87. Government & Political Science
88. Legal Programs & Law Schools
89. Psychology & Sociology

Welfare

91. Public Interest, Citizen Participation & Consumerism
92. Urban Development, Housing & Transportation
93. Community Funds
94. Crime & Delinquency
95. Social Agencies
96. Family Services & Population Studies
97. Child Welfare
98. Young Men's & Women's Associations
99. Boy(s) & Girl(s) Scouts & Clubs
100. Youth Programs
101. Animal Welfare
102. Rural Development
103. Recreation
104. Camps

Other

105. International — Domestic Recipients
106. International — Foreign Recipients
107. Religion — Welfare & Theology
108. Matching & Challenge Grants
109. Conferences & Seminars

Foundation Grants Index Annual**.** The second Grants Database publication to check is the *Foundation Grants Index Annual*, published each April, which lists all foundation grants over $5,000 reported to the Center in the preceding year. The 1979 *Foundation Grants Index* included over 19,000 grants awarded by 398 private foundations. Grants are listed by foundation and indexed by recipient organizations, by recipient state and subject, and by keywords. The Grants Index is most helpful when:

- there are no *COMSEARCH* categories relating to your project or when the closest *COMSEARCH* category seems too broad or narrow.
- you want to check under a wide range of descriptive terms.
- you want to learn which foundations have made grants to particular recipient organizations.
- your project is very narrow or specific in its scope and you want to target only those foundations with this very particular interest or when your project cuts across several subject disciplines.

The book is arranged alphabetically by state and within each state alphabetically by foundation name. Each foundation's grants are then arranged alphabetically by the name of the recipient organization. Any restrictions which the foundation places on its grants program are noted at the beginning of its entry.

The annual volume includes three indexes which will help you to identify appropriate foundations. Each index uses the unique identification numbers assigned to each grant record as citations. The Key Words and Phrases Index is based on the purpose of the recipient organization and the specific description of each grant. In using this index, be sure to look under as many terms as you can think of that relate to some aspect of your organization or project. For example, if you are looking for funds to start a career counseling service for young women through a local high school, you would look for similar grants under "Career Counseling," "Employment," "School (secondary)," "Girls," "Women," and "Youth." Because grants may be indexed under more than one word or phrase, however, you may be referred to the same grant by several different terms.

The Recipients Index is arranged in two sections, domestic and foreign. Within each section, recipient organizations are listed alphabetically and include their state or country location. Try to think of organizations whose activities, programs, or interests are similar to yours and check to see what type of foundation support, if any, they have received and which foundations provided the support.

Figure 4 *Foundation Grants Index* Entries

Rockefeller (Winthrop) Foundation

(M) Limited to projects which would benefit Arkansas

$17,500 to **Arkansas Advocates for Children and Families**, Little Rock, AR 12/16/78. 2-year grant. For general support while grantee establishes itself as organization which will work for protection, education and well-being of all children in Arkansas through administrative, legislative, and social change *SD* 1/5/79 FF *(1)*

$10,000 to **Arkansas College**, Institute of Politics and Government, Little Rock, AR 9/9/78. To operate seminar programs for journalists in Arkansas to improve the participants' ability to understand and report on complex issues and topics *SD* 10/10/78 FF *(2)*

$11,000 to **Arkansas Family Day Care Providers for Quality Child Care**, Little Rock, AR 6/2/79. To develop and implement decentralized system of day care for children of working families *SD* 6/18/79 FF *(3)*

$5,000 to **Arkansas State Health Department**, Little Rock, AR 6/2/79. To improve public education in field of primary and rural health care *SD* 6/18/79 FF *(4)*

Ahmanson Foundation

$10,000 to **Aerospace Museum and Hall of Fame**, San Diego, CA 8/78. For new building fund *SD* 1978 AR *(16)*

$5,000 to **Allentown College of Saint Francis**, Center Valley, PA 11/77. For library expansion and equipment *SD* 1978 AR *(17)*

$25,000 to **Alliance to Save Energy**, DC 6/78. For operating fund. *PH* Continuing support *SD* 1978 AR *(18)*

$10,000 to **Aman Folk Ensemble**, Los Angeles, CA 7/78. For professional sound system *SD* 1978 AR *(19)*

$5,000 to **American National Red Cross**, Los Angeles, CA 12/77. For self-contained blood collection vehicle *SD* 1978 AR *(20)*

$7,500 to **Anatolia College**, Boston, MA 5/78. For operating support *SD* 1978 AR *(21)*

Figure 5 *Foundation Grants Index*, Keywords and Phrases Index

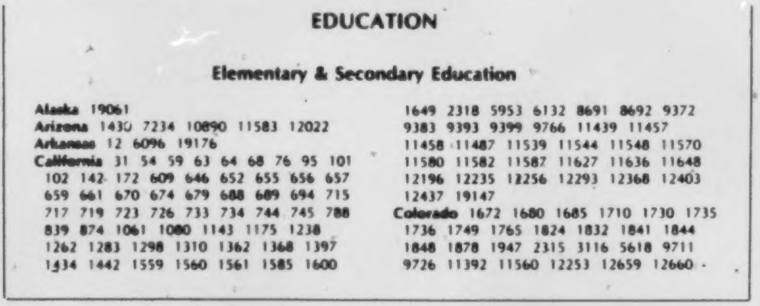
Career awareness, inner city youth *3553*
Career change, adults *4928 12733*
Career counseling *874 4969*
Career counseling, children *9884*
Career counseling, college *9836*
Career counseling, public school *4054*
Career counseling, women *3161 6250 9767 10559 14807*
Career development, research *5059 8611*
Career education *12860*
Career education, community *8106*
Career education, high school students *399*
Career education, minority girls *11557*
Career exploration, school study *5057*
Career mobility, nursing education *9833*
Career training, agriculture *166*
Career training, business *206*
Career training, city management *11852*
Career training, community school *4990*
Career training, county bureau *4162*
Career training, minorities *13323*
Career training, public service *10432*
Careers (business) women *8296*
Careers (health) minority students *6319*
Careers, higher education *3297*

Figure 6 *Foundation Grants Index*, Recipients Index

Colorado State University, CO *690*
Columbia Presbyterian Medical Center, NY *1195*
Columbia Presbyterian Medical Research Fund, NY *799*
Columbia University, NY *59 223 800 814 1033 1034 1035 1036 1339 1397 1398 1510*
Columbus Area Chamber of Commerce Foundation, IN *425*
Columbus County Hospital, NC *948*
Columbus Museum of Art, OH *1550*
Columbus, City of, IN *426 427 428*
Committee for Economic Development, DC *1037*
Community Art Resource, CA *160*
Community Board Program, CA *60*
Community Coordinated Child Care of Milwaukee County, WI *1790*
Community Council of Albuquerque, NM *224*
Community Council of Greater New York, NY *1399*
Community Day Care Association, PA *1672*
Community Funds, NY *894*

The Index of Subject Categories is arranged alphabetically by 11 broad subject categories and 20 subcategories. Within each category, grants are listed by the state or country in which the recipients are located. This enables you to see the types of programs currently funded in a particular state or region and also lets you focus on those grants in your subject field which have been made in your geographic area. Of course, foundations which haven't made grants in your state previously may be able to do so in the future if they have no geographical restrictions in their charter. Each foundation's full grants list will have to be checked to find out whether their awards are geographically restricted.

Figure 7 *Foundation Grants Index*, Subject Categories Index



EDUCATION

Elementary & Secondary Education

Alaska 19061
Arizona 1430 7234 10890 11583 12022
Arkansas 12 6096 19176
California 31 54 59 63 64 68 76 95 101 102 142 172 609 646 652 655 656 657 659 661 670 674 679 688 689 694 715 717 719 723 726 733 734 744 745 788 839 874 1061 1080 1143 1175 1238 1262 1283 1298 1310 1362 1368 1397 1434 1442 1559 1560 1561 1585 1600 1649 2318 5953 6132 8691 8692 9372 9383 9393 9399 9766 11439 11457 11458 11487 11539 11544 11548 11570 11580 11582 11587 11627 11636 11648 12196 12235 12256 12293 12368 12403 12437 19147
Colorado 1672 1680 1685 1710 1730 1735 1736 1749 1765 1824 1832 1841 1844 1848 1878 1947 2315 3116 5618 9711 9726 11392 11560 12253 12659 12660

To complete your research in the *Grants Index*, review the grantmaking activities of all of the foundations listed for your state or region. It is possible that you may notice a giving pattern matching your needs which didn't show up when using the indexes. For example, community foundations usually make grants for a wide spectrum of programs within their geographic area. A subject search might not lead you to a community foundation if they did not support any projects in your subject field during the past year. Yet by checking further, you might find they would be willing to consider your project if it is to be conducted in their community.

Foundation Grants Index Bimonthly. Both *COMSEARCH Printouts* and the *Foundation Grants Index Annual* contain information about grants reported in preceding years. More current grants information is provided in the Foundation Grants Index section produced by The Foundation Center for each issue of the bimonthly magazine *Foundation News*. Each issue lists about 2,000 recent grants in the same manner as the *Grants Index Annual* and includes a key words and phrases index and a recipient index. By checking the bimonthly issues for the current year, you'll be able to update your list of prospects, adding foundations that have recently made grants of interest.

Even after your initial research is completed, you should continue to check each bimonthly grants section in *Foundation News*. It will help you to keep abreast of new grants in your field, as well as the current grants of foundations in which you have an interest. All of the grants appearing in *Foundation News* during a calendar year are included in the following year's *Grants Index* annual and the appropriate *COMSEARCH Printouts*. *COMSEARCH* and the *Annual* also include about 8,000 additional grants reported to the Center during the preceding year. Thus, as soon as *COMSEARCH* and the *Annual* are published, it becomes unnecessary to go back to that year's bimonthly indexes. For example, if you are doing your research in July, you will need to check the *COMSEARCH* or *Grants Index Annual* for the preceding year or two and the bimonthly Grants Indexes in *Foundation News* for January/February, March/April, and May/June of the current year.

Once you have thoroughly explored the available indexes to specific foundation grants, you can expand your list of prospects by using the subject indexes in publications which describe the foundations themselves.

Directories of Foundations.

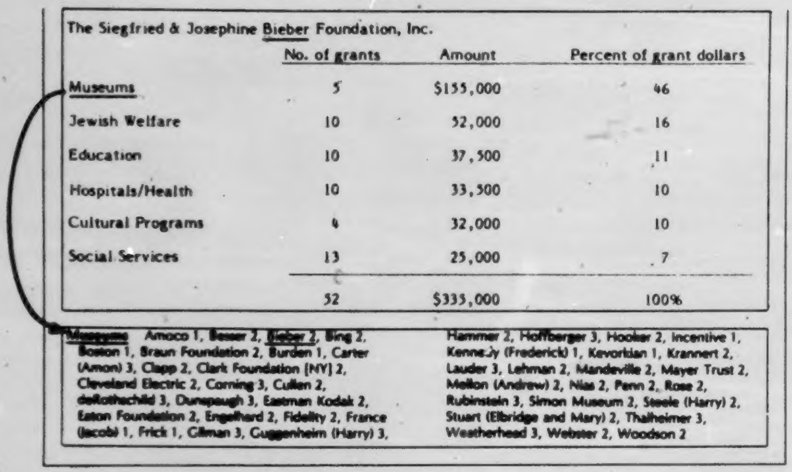
Another type of information will be found using directories of foundations. Although the quality and quantity of detail vary, as do the sources from which the data is obtained, all of these directories concentrate on describing particular foundations rather than particular grants. Directory entries present a summary of the information on a foundation so although information on grants will often be included, it appears in broader, more general terms than in the grants indexes. Because of this focus, the directories also use broader terms to describe the foundation's giving interests than the very specific terms and phrases which are used to describe particular grants in the Foundation Grants Index resources.

Directories provide an excellent source of detailed information on particular foundations, as we'll see when we discuss researching foundation prospects in Chapter 8. However, in doing subject research, concentrate on the subject indexes to the foundation directories to add appropriate foundation names to your prospect list.

Source Book Profiles. This bimonthly looseleaf service describes in great detail the 1,000 largest foundations based on annual grant totals. It will be one of your best sources of information for researching particular foundations. At this point, we'll concentrate on its indexes. *Source Book Profiles* has four indexes, two of which are of particular value in identifying foundation giving interests: the Index of Subjects and the Index of Types of Support. The use of the other two indexes, the geographic and alphabetical indexes, will be described in subsequent chapters.

The Index of Subjects lists the top 1,000 foundations under about 100 broad subject terms. Each foundation is indexed according to the terms used in its grants analysis, the statistical breakdown by subject category of the foundation's complete grants list included in each profile.

Figure 8 *Source Book Profiles*. Grants Analysis and Corresponding Subject Index Entry

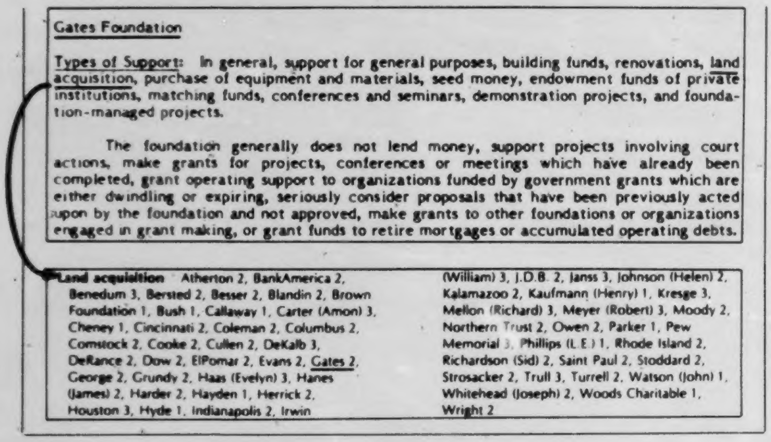


The Siegfried & Josephine Bieber Foundation, Inc.

	No. of grants	Amount	Percent of grant dollars
Museums	5	$155,000	46
Jewish Welfare	10	52,000	16
Education	10	37,500	11
Hospitals/Health	10	33,500	10
Cultural Programs	4	32,000	10
Social Services	13	25,000	7
	52	$335,000	100%

Museums Amoco 1, Besser 2, Bieber 2, Bing 2, Boston 1, Braun Foundation 2, Burden 1, Carter (Amon) 3, Clapp 2, Clark Foundation (NY) 2, Cleveland Electric 2, Corning 3, Cullen 2, deRothschild 3, Dunspaugh 3, Eastman Kodak 2, Eaton Foundation 2, Engelhard 2, Fidelity 2, France (Jacob) 1, Frick 1, Gilman 3, Guggenheim (Harry) 3, Hammer 2, Hoffberger 3, Hooker 2, Incentive 1, Kennedy (Frederick) 1, Kevorkian 1, Krannert 2, Lauder 3, Lehman 2, Mandeville 2, Mayer Trust 2, Mellon (Andrew) 2, Nias 2, Penn 2, Rose 2, Rubinstein 3, Simon Museum 2, Steele (Harry) 2, Stuart (Elbridge and Mary) 2, Thalheimer 3, Weatherhead 3, Webster 2, Woodson 2

Figure 9 *Source Book Profiles*. Types of Support Section and Corresponding Index Entry



Gates Foundation

Types of Support: In general, support for general purposes, building funds, renovations, land acquisition, purchase of equipment and materials, seed money, endowment funds of private institutions, matching funds, conferences and seminars, demonstration projects, and foundation-managed projects.

The foundation generally does not lend money, support projects involving court actions, make grants for projects, conferences or meetings which have already been completed, grant operating support to organizations funded by government grants which are either dwindling or expiring, seriously consider proposals that have been previously acted upon by the foundation and not approved, make grants to other foundations or organizations engaged in grant making, or grant funds to retire mortgages or accumulated operating debts.

Land acquisition Atherton 2, BankAmerica 2, Benedum 3, Bersted 2, Besser 2, Blandin 2, Brown Foundation 1, Bush 1, Callaway 1, Carter (Amon) 3, Cheney 1, Cincinnati 2, Coleman 2, Columbus 2, Comstock 2, Cooke 2, Cullen 2, DeKalb 3, DeRance 2, Dow 2, ElPomar 2, Evans 2, Gates 2, George 2, Grundy 2, Haas (Evelyn) 3, Hanes (James) 2, Harder 2, Hayden 1, Herrick 2, Houston 3, Hyde 1, Indianapolis 2, Irwin (William) 3, J.D.B. 2, Janss 3, Johnson (Helen) 2, Kalamazoo 2, Kaufmann (Henry) 1, Kresge 3, Mellon (Richard) 3, Meyer (Robert) 3, Moody 2, Northern Trust 2, Owen 2, Parker 1, Pew Memorial 3, Phillips (L.E.) 1, Rhode Island 2, Richardson (Sid) 2, Saint Paul 2, Stoddard 2, Strosacker 2, Trull 3, Turrell 2, Watson (John) 1, Whitehead (Joseph) 2, Woods Charitable 1, Wright 2

The Index of Types of Support organizes the top 1,000 foundations by the types of support they have provided in the past. The approximately 30 categories of support include areas such as endowment, equipment, continuing support, matching funds, loans, program-related investments, publications, research, seed money, and technical assistance. Entries are based on the support patterns described in the Types of Support section of each profile (Fig. 9). It also includes the category "applications not invited" where you will find a list of foundations which, for a variety of reasons, are not accepting proposals at the current time. Be sure no foundation you plan to approach is listed here.

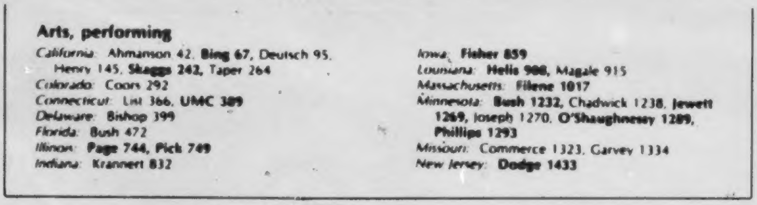
This index provides valuable insight into the types of awards particular foundations have made, but it must be used carefully in tandem with the subject index. While many foundations do rule out particular categories of support (i.e., no capital grants, no continuing support), they generally focus on the subject of a grant, rather than the type of award. For example, a foundation funding a conference on population control probably makes that grant more because of its interest in population planning than an interest in sponsoring conferences. If a foundation doesn't specifically rule out the type of support you need, it will probably consider many types of program support in the subject area of particular interest.

The Foundation Directory. This is the best-known and most heavily used reference work in the field. It describes all foundations with assets greater than $1 million or making grants totaling over $100,000 per year. It is published every two years and usually includes about 3,000 foundations, though the exact total varies as foundation assets and grants amounts change. The Seventh Edition, published in 1979, contains 3,138 entries.

The *Foundation Directory* is a good source for investigating additional prospects because it includes far more foundations than any of the sources we've discussed thus far. The *Foundation Grants Index* publications indexed grants of about 500 foundations, *Source Book Profiles* expanded the scope of possibilities to the 1,000 largest foundations, but the *Foundation Directory* allows us to consider the subject interests of over 3,000 foundations. Because the *Directory* covers each foundation in less depth than *Source Book Profiles*, you'll find the descriptions of foundation interests in the *Directory* less detailed. This means you should think of your program in the broadest possible terms in using the *Directory*. If, to take an obvious example, your field is mental health, be sure to consider foundations mentioning an interest in health unless they specifically rule out mental health.

The *Foundation Directory* has four indexes: Index of Foundations by State and City; Index of Donors, Trustees, and Administrators; Index of Foundations; and Index to Fields of Interest. The Index to Fields of Interest is the most helpful in subject research. It indexes foundations by their stated program interests and is arranged by subject categories which are then

Figure 10 *Foundation Directory*, Fields of Interest Index



Arts, performing

California: Ahmanson 42, **Bing 67**, Deutsch 95, Henry 145, **Skaggs 242**, Taper 264
Colorado: Coors 292
Connecticut: List 366, **UMC 389**
Delaware: Bishop 399
Florida: Bush 472
Illinois: **Page 744**, **Pick 749**
Indiana: Krannert 832
Iowa: **Fisher 859**
Louisiana: **Helis 908**, Magale 915
Massachusetts: **Filene 1017**
Minnesota: **Bush 1232**, Chadwick 1238, **Jewett 1269**, Joseph 1270, **O'Shaughnessy 1289**, **Phillips 1293**
Missouri: Commerce 1323, Garvey 1334
New Jersey: **Dodge 1433**

subdivided by state. Foundations with national or regional giving patterns appear in bold type under the state where they are located; foundations which are restricted to local giving are listed in regular type. You should check first under your subject category and note under the listing for your state those foundations that are restricted to local giving in the field. Then note all of the foundations listed under any state in your category which are in bold type because they have an interest in your field and are not geographically restricted in their grantmaking.

State or Local Foundation Directories. There are currently 48 area foundation directories available, covering foundations in 37 states and 4 cities or metropolitan areas. These directories are compiled by a wide variety of organizations, including commercial publishers, state government agencies, libraries, foundations or associations of foundations, and university development offices. They vary a great deal in both the amount and quality of the information they provide, as the examples in figures 11, 12 and 13 illustrate.

Relatively few of the area foundation directories contain subject indexes. Where subject indexing or subject coding is included, be sure to read the instructions carefully so you understand the basics on which subject classifications were made. The use and meaning of certain terms may vary.

Most local foundation directories provide a very good supplemental source of information, particularly for the smaller foundations not covered in the major foundation reference works. Those local directories which do include a subject index provide the only subject access to the interests of smaller foundations. The availability of such a resource will greatly simplify your geographic research it you are focusing on smaller, locally-oriented foundations as a more likely source of funds.

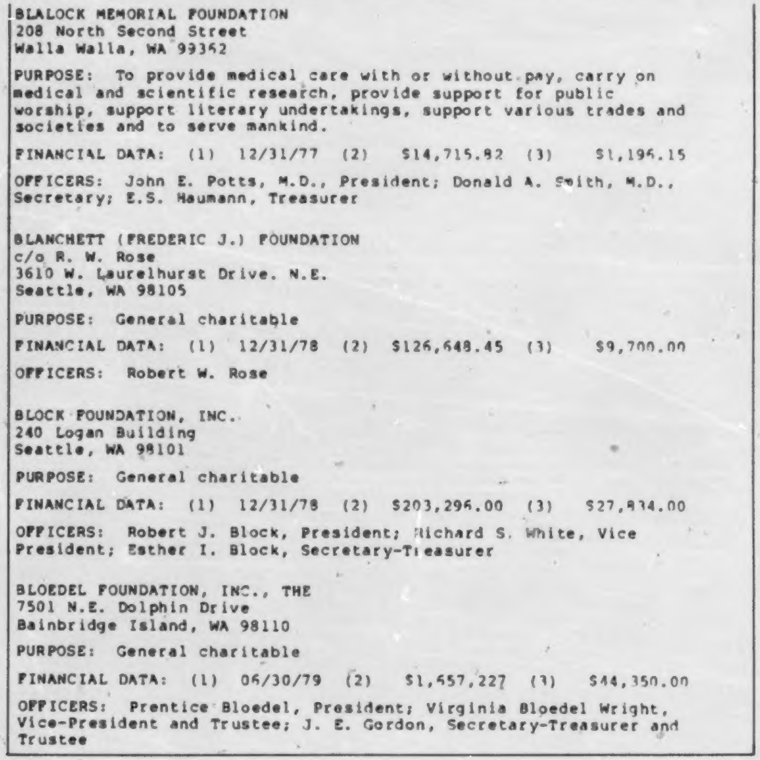
A bibliography of all available area foundation directories can be found in Appendix E. The Center monitors this field carefully and updates the bibliography whenever it learns about new directories or editions. You may write to the Center in New York for an up-to-date copy of this bibliography at any time. The Foundation Center has copies of all state and city foundation directories available for public use in its New York and Washington, D.C. libraries. Members of its network of cooperating library collections (listed in Appendix F) will generally have directories only for their state or region.

Figure 11 Sample Entry from *Guide to California Foundations*

William and Flora Hewlett Foundation
Two Palo Alto Square
Palo Alto, CA 94304 94 1655673
(415) 493-3665 12-76

Established	1966
Purpose	Charitable, religious, scientific, literary and educational giving
Contact person	Roger W. Heyns, President
Program limitations	No grants or loans to individuals; no grants in health care and medical fields; no grants to organizations not certified as charitable and no routine fund-raising appeals
Geographic limits	United States
Primary interests	Arts and humanities, education, environment, population, Bay Area grants program
Contact procedure	Letter of inquiry
Funding cycle	Quarterly
Application deadlines	None
Information available	Ten-year report, annual report for 1977
Total assets	$30,967,719
Total grants	$2,519,928
Number of grants	56
Sample grants	• $25,000 to Fort Mason Foundation, San Francisco, for transforming Fort into cultural, educational, and recreational center • $26,000 to Suicide Prevention and Crisis Center of San Mateo County to identify and serve suicidal adolescents • $40,000 to National Wildlife Federation for acquisition of 1,200 acres in Siskiyou County for a wildlife preserve • $185,019 to UC Berkeley, Math, Science, Engineering Achievement (MESA) Program for preparing under-represented minorities to enter engineering and related science programs at colleges and universities • $300,000 to Alan Guttmacher Institute, New York for research, policy analysis, and education in the population field
Officers & Directors	William R. Hewlett, Chairman; Roger W. Heyns, President; Walter B. Hewlett, Vice President, Secretary

Figure 12 Sample Entry from *Charitable Trust Directory*



BLALOCK MEMORIAL FOUNDATION
208 North Second Street
Walla Walla, WA 99362

PURPOSE: To provide medical care with or without pay, carry on medical and scientific research, provide support for public worship, support literary undertakings, support various trades and societies and to serve mankind.

FINANCIAL DATA: (1) 12/31/77 (2) $14,715.82 (3) $1,196.15

OFFICERS: John E. Potts, M.D., President; Donald A. Smith, M.D., Secretary; E.S. Haumann, Treasurer

BLANCHETT (FREDERIC J.) FOUNDATION
c/o R. W. Rose
3610 W. Laurelhurst Drive. N.E.
Seattle, WA 98105

PURPOSE: General charitable

FINANCIAL DATA: (1) 12/31/78 (2) $126,648.45 (3) $9,700.00

OFFICERS: Robert W. Rose

BLOCK FOUNDATION, INC.
240 Logan Building
Seattle, WA 98101

PURPOSE: General charitable

FINANCIAL DATA: (1) 12/31/78 (2) $203,296.00 (3) $27,834.00

OFFICERS: Robert J. Block, President; Richard S. White, Vice President; Esther I. Block, Secretary-Treasurer

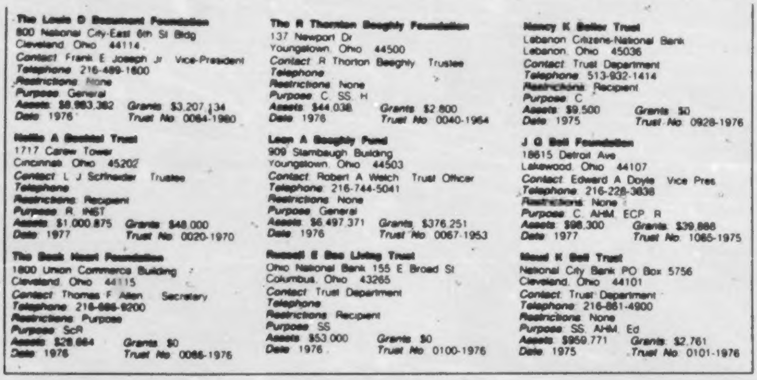
BLOEDEL FOUNDATION, INC., THE
7501 N.E. Dolphin Drive
Bainbridge Island, WA 98110

PURPOSE: General charitable

FINANCIAL DATA: (1) 06/30/79 (2) $1,657,227 (3) $44,350.00

OFFICERS: Prentice Bloedel, President; Virginia Bloedel Wright, Vice-President and Trustee; J. E. Gordon, Secretary-Treasurer and Trustee

Figure 13 Sample Entry from *Charitable Foundations Directory of Ohio*



The Louis D Beaumont Foundation
800 National City-East 6th St Bldg
Cleveland Ohio 44114
Contact Frank E Joseph Jr Vice-President
Telephone 216-489-1600
Restrictions None
Purpose General
Assets $8,983,382 *Grants* $3,207,134
Date 1976 *Trust No* 0064-1980

Nellie A Bechtel Trust
1717 Carew Tower
Cincinnati Ohio 45202
Contact L J Schneider Trustee
Telephone
Restrictions Recipient
Purpose R INST
Assets $1,000,875 *Grants* $48,000
Date 1977 *Trust No* 0020-1970

The Beck Heart Foundation
1800 Union Commerce Building
Cleveland Ohio 44115
Contact Thomas F Allen Secretary
Telephone 216-686-9200
Restrictions Purpose
Purpose ScR
Assets $28,864 *Grants* $0
Date 1976 *Trust No* 0086-1976

The R Thornton Beeghly Foundation
137 Newport Dr
Youngstown Ohio 44500
Contact R Thorton Beeghly Trustee
Telephone
Restrictions None
Purpose C SS H
Assets $44,038 *Grants* $2,800
Date 1976 *Trust No* 0040-1964

Leon A Beeghly Fund
909 Stambaugh Building
Youngstown Ohio 44503
Contact Robert A Welch Trust Officer
Telephone 216-744-5041
Restrictions None
Purpose General
Assets $6,497,371 *Grants* $376,251
Date 1976 *Trust No* 0067-1953

Russell E Bee Living Trust
Ohio National Bank 155 E Broad St
Columbus Ohio 43265
Contact Trust Department
Telephone
Restrictions Recipient
Purpose SS
Assets $53,000 *Grants* $0
Date 1976 *Trust No* 0100-1976

Nancy K Beller Trust
Lebanon Citizens-National Bank
Lebanon Ohio 45036
Contact Trust Department
Telephone 513-932-1414
Restrictions Recipient
Purpose C
Assets $9,500 *Grants* $0
Date 1975 *Trust No* 0928-1976

J G Bell Foundation
18615 Detroit Ave
Lakewood Ohio 44107
Contact Edward A Doyle Vice Pres
Telephone 216-228-3838
Restrictions None
Purpose C AHM ECP R
Assets $98,300 *Grants* $39,888
Date 1977 *Trust No* 1065-1975

Maud K Bell Trust
National City Bank PO Box 5756
Cleveland Ohio 44101
Contact Trust Department
Telephone 216-861-4900
Restrictions None
Purpose SS AHM Ed
Assets $959,771 *Grants* $2,761
Date 1975 *Trust No* 0101-1976

General Funding Directories. There are a variety of other funding reference books available, and their number continues to grow. The Foundation Center does not make recommendations as to what resources, publications, or services grantseekers might use in their search for funds. The four Center-operated libraries collect virtually everything that is published about foundations and foundation grants, however. Many of our cooperating collections across the country also purchase a great deal of what is published. We recommend that initially grantseekers invest their time rather than their money. Visit one of our library collections, and examine all of the available materials in the field before making any decisions as to what publications to purchase. Use the tools available in the libraries for your initial research, and then decide which publications, if any, you will need immediately at hand on a continuing basis.

There are several reference publications you may want to consult before concluding your subject research. They generally focus on the largest foundations. Because the Foundation Center resources described to this point cover the large foundations quite extensively you may not find any new sources to add to your list, but a thorough search should include at least a quick perusal of the following publications, when available:

ARIS Funding Messenger: Creative Arts and Humanities Report. 9/yr. $58; *Medical Sciences Report*. 12/yr. $105; *Social and Natural Sciences Report*. 9/yr. $105. (San Francisco, CA: Academic Research Information System, 1976–)

Annual Register of Grant Support 1979–80. (Chicago, IL: Marquis Academic Media, 1979)

Foundation 500. David M. Lawson, ed. (New York: Lawson Associates, 1978)

Grant Information System. (Phoenix, AZ: Oryx Press, 1979)

The Grants Register 1977–79. Roland Turner, ed. (New York: St. Martin's Pr., 1978)

Taft Foundation Reporter. (Washington, D.C.: Taft Corporation, 1978)

User's Guide to Funding Resources. Human Resources Network. (Radnor, PA: Chilton Book Co., 1975)

Where America's Large Foundations Make Their Grants. Joseph Dermer, ed. (New York: Public Service Materials Center, 1980)

Specialized Funding Directories. The number of directories which profile funding patterns and availability in particular subject fields is also proliferating. These directories generally detail a wide range of funding sources for the field, including federal and local government agencies, foundations, corporations, individuals, etc. Check with your colleagues and local libraries to see if a directory exists in a field related to your interests. Again, Foundation Center libraries try to collect these directories for the use of visitors. Currently, the most heavily used of these specialized resources include:

Directory of Research Grants. Betty L. Wilson and William K. Wilson, comps. (Phoenix, AZ: Oryx Press, 1979)

Foundation Guide for Religious Grantseekers. Peter S. Robinson, ed. (Missoula, MT: Scholars Press, 1979)

Funding in Aging: Public, Private and Voluntary. Lilly Cohen, ed. (Garden City, NY: Adelphi University Press, 1979)

Handicapped Funding Directory. Burton J. Eckstein, ed. (Oceanside, NY: Research Grant Guides, 1980)

How to Raise Money for Kids. Anne Burr Dodge and Dana Friedman Tracy, eds. (Washington, D.C.: Coalition for Children and Youth, 1978)

National Directory of Arts Supported by Business Corporations. Daniel Millsaps, ed. (Washington, D.C.: Washington International Arts Letter, 1979)

National Directory of Arts Support by Private Foundations. Daniel Millsaps, ed. (Washington, D.C.: Washington International Arts Letter, 1977)

Private Funds for Mental Health Research. U.S. Department of Health, Education, and Welfare. (Rockville, MD: National Institute of Mental Health, 1973)

Nonprofits working in areas dealing with social change should be aware of a directory entitled *Network of Change-Oriented Foundations.* It is a small directory of foundations belonging to an informal alliance operating under that name. Many of the foundations affiliated with the network have very specific interests within the broad field of social change. Definitions of what is and what is not a change-oriented project may vary widely, even among the foundations in the network, but if your organization operates within a spectrum that you consider change oriented, you should be sure to review this directory and add to your list those foundations whose specific program interests seem related to your activity.

Two other resources to note are organizations rather than published materials. Within the foundation community, two organizations have been formed in an attempt to improve the funding climate for projects directed towards blacks and women: The Association of Black Foundation Executives (400 Madison Avenue, New York, NY 10017) and Women and Foundations/Corporate Philanthropy (866 United Nations Plaza, Room 435, New York, NY 10017). You may wish to contact one of them if your project or organization is concerned with helping these groups.

Chapter 7

How to Find Foundations in Your Geographic Area

WHEN GEOGRAPHIC RESEARCH IS MOST HELPFUL

All nonprofits interested in attracting foundation funding should learn as much as possible about the foundations in their own backyard, both big and small. When the grantmaking interests of the larger foundations in your community coincide with the program of your organization, you will want to develop a good relationship with appropriate foundation staff members. It might be possible to build a funding structure using a variety of components. For example, you could cultivate small grants of $100 to $5,000 from local foundations for continuing general support and approach large local foundations working in your field of interest when introducing a special project.

Smaller local foundations should be investigated for grants matched to their interests and giving range. You will probably find that many of these small foundations give to the same local organizations year after year and rarely make grants to new recipients. However, this should not discourage you from investigating all local sources.

The geographic pattern of foundation grantmaking, as reflected in grants reported to the Center, gives an interesting picture of the flow of grant money. Table 10 compares the distribution of grants in numbers awarded and in dollar value by foundation and recipient locations. This analysis comes from the Foundation Grants Database and represents about 500 predominantly large foundations. A more comprehensive analysis is impossible due to uneven grant reporting by foundations, but overall trends can be inferred from the patterns which emerge here. In 1978, for example, four states, California, Michigan, New York, Pennsylvania, plus the Dis-

Table 10 State Distribution of Grants and Grant Money

	Grant Given		Grants Received	
State	**Amount**	**Number**	**Amount**	**Number**
Alabama			$ 4,352,554	58
Alaska	$ 601,714	16	327,820	12
Arizona			1,886,669	42
Arkansas			2,363,719	39
California	58,845,191	1,358	73,652,802	1,569
Colorado	6,593,278	181	12,601,392	286
Connecticut	15,397,575	331	14,489,629	380
Delaware	990,633	111	462,580	22
Dist. of Columbia	6,842,000	413	63,917,854	844
Florida	2,192,037	61	4,183,334	105
Georgia	8,301,761	181	24,622,864	183
Hawaii	2,791,509	190	4,327,529	208
Idaho			423,619	21
Illinois	9,818,760	354	20,759,285	574
Indiana	12,923,327	159	9,733,533	198
Iowa	830,000	8	4,797,400	73
Kansas	110,577	5	1,146,310	37
Kentucky	563,612	31	3,934,725	78
Louisiana	1,137,289	34	3,951,229	97
Maine			2,192,750	38
Maryland	480,929	50	9,827,912	154
Massachusetts	7,839,032	561	46,544,183	1,010
Michigan	110,908,970	1,295	54,565,233	652
Minnesota	36,624,197	911	35,074,603	672
Mississippi			1,847,474	45
Missouri	2,085,432	90	5,309,640	166
Montana			984,560	20
Nebraska	293,000	3	1,089,704	31
Nevada	2,438,705	31	1,443,185	20
New Hampshire	172,900	15	3,524,298	65
New Jersey	40,077,630	568	22,660,570	489
New Mexico	754,886	29	2,020,381	36
New York	331,887,004	5,237	138,971,296	2,698
North Carolina	9,932,931	200	30,227,716	484
North Dakota			520,977	20
Ohio	16,038,003	613	23,323,998	636
Oklahoma	1,272,896	14	1,678,987	30
Oregon	583,300	39	6,546,826	118
Pennsylvania	98,490,932	1,478	70,807,942	1,244
Rhode Island	600,454	43	3,356,994	66
South Carolina	1,377,432	53	6,187,288	158
South Dakota			652,060	31
Tennessee	26,603	4	7,102,481	106
Texas	20,741,144	448	27,135,978	452
Utah			6,141,398	38
Vermont	1,349,040	15	3,015,618	64
Virginia	2,630,121	47	13,318,281	216
Washington	5,314,652	109	8,345,884	149
West Virginia			2,653,926	65
Wisconsin	2,312,873	111	5,320,478	154
Wyoming			615,044	12
TOTAL	$822,222,329	15,397	$785,942,521	14,965

trict of Columbia, accounted for the bulk of foundation activity. Together they represented nearly 75 percent of the grants given and 50 percent of the grants received.

The figures in Table 10 will give you an idea of the funding situation in your state. More money going out of a state than coming in generally indicates the presence of large foundations with national funding interests. If more money comes into a state than is given by the foundations within that state, it is because the nonprofits there have been able to attract funding from out-of-state foundations with national or regional giving programs.

SUMMARY OF RESEARCH STEPS

Geographic research is the means by which you can identify all foundations in your city or state. It is particularly important if you are seeking relatively small grants or funds for projects with purely local impact. You'll see that developing a list of foundations in your area is relatively easy. However, once identified, each foundation must be fully researched to see if their past grantmaking activities correlate in any way to your proposal. Matching locations alone is an inadequate rationale for requesting funding.

The special research tools you'll use in geographic research are described fully in the "Details on the Information Sources" section which follows. The diagram in Figure 14 and the outline below will acquaint you with the focus of each of the reference materials.

1. *State or Local Foundation Directories*. If a directory exists for your state or city, it should be the starting point for your research. Generally local directories include far more, and in some cases all, of the smaller foundations in the area they cover. The facts presented on a foundation range from very brief data (i.e., name and address) to extremely comprehensive descriptions. In either case, these area directories generally provide a fairly good profile of the foundation community in your area.
2. *Foundation Center National Data Book* (Foundation Center publication). It provides the only complete list of all currently active foundations in the United States. You can use it to find the names of all foundations making grants of more than $1 annually. Because it is arranged in descending order by state, you can quickly cull the names of the foundations in your state or city of a size appropriate for your proposal.
3. *Foundation Center Source Book Profiles* (Foundation Center publication). The Geographic Index lists foundations by city and state. Use it to find which of the top 1,000 foundations are located in your area.
4. *Foundation Directory, Edition 7* (Foundation Center publication). The Index of Foundations by State and City gives you the top 3,138 foundations by location. The arrangement of the Directory is by state

so you can familiarize yourself with all the large foundations in your state by reading through the appropriate chapter.

5. *COMSEARCH Printouts: Geographic* (Foundation Center publication). Grants made by major foundations are listed by the geographic locations of recipient organization. Introduced in 1980, listings are available for ten states, the District of Columbia and New York City. These printouts are particularly useful for identifying foundations which have been making grants in these areas and exploring the types of organizations and projects that they have funded.
6. *Foundation Grants Index* (Foundation Center publication). The annual volume and the bimonthly indexes in *Foundation News* are both arranged by state. Use them to review the current, specific grant interests of foundations in your area.

These resources will help you develop a list of foundations in your area that might be interested in your proposal. Examples of how to compile a good geographic prospect list using these tools are provided in Appendix B. Geographic research is best at uncovering small local foundations that rarely appear in the major reference sources used for subject research. While you will want to identify the large foundations in your state and city, you will find that they generally have specific subject interests in which they concentrate their grants, so geographic location is usually not of primary importance to them in selecting grantees.

DETAILS ON THE INFORMATION SOURCES

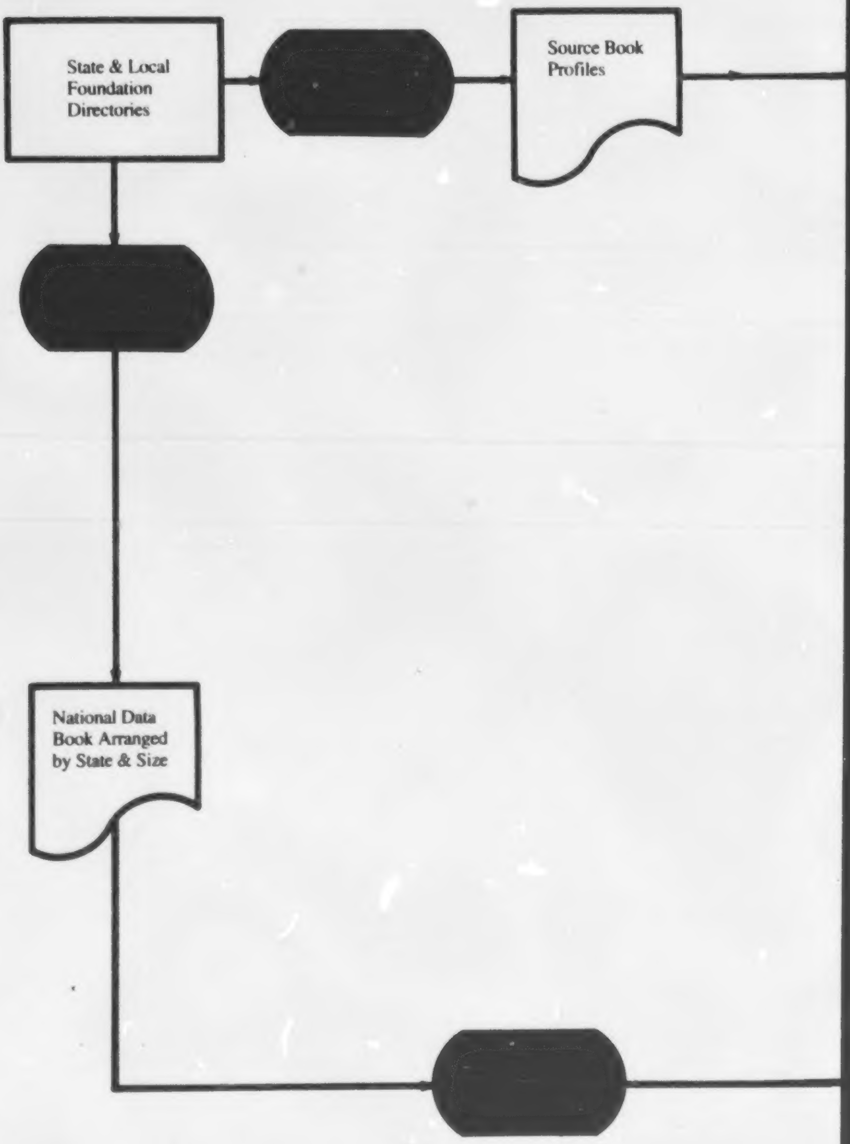
State or Local Foundation Directories

We touched on state and local directories in discussing subject research because a limited number of them provide some subject access, be it indexing, coding, or classification. State and local directories are a key tool in geographic research and should be the first publications checked, if one is available for your area. The bibliography in Appendix E lists all area directories of which the Center is currently aware. New directories and new editions are published frequently, however, so check with the Center or your local library when you begin your research to be sure no more current information has been published. If there is more than one directory for your area, as there are for several states like California and Massachusetts, use them all until you are able to verify through your own research which is most accurate and comprehensive.

National Data Book

This is the only directory published which includes entries for *all* currently active grantmaking foundations. Even most local directories set some minimum asset or grant criteria to eliminate the very smallest foundations. A new edition of the *National Data Book* is published every fall and about 21,000-22,000 foundations are generally included.

Figure 14 Geographic Research Strategy: Finding the Foundations in Your Community


State & Local Foundation Directories
Source Book Profiles
National Data Book Arranged by State & Size

59

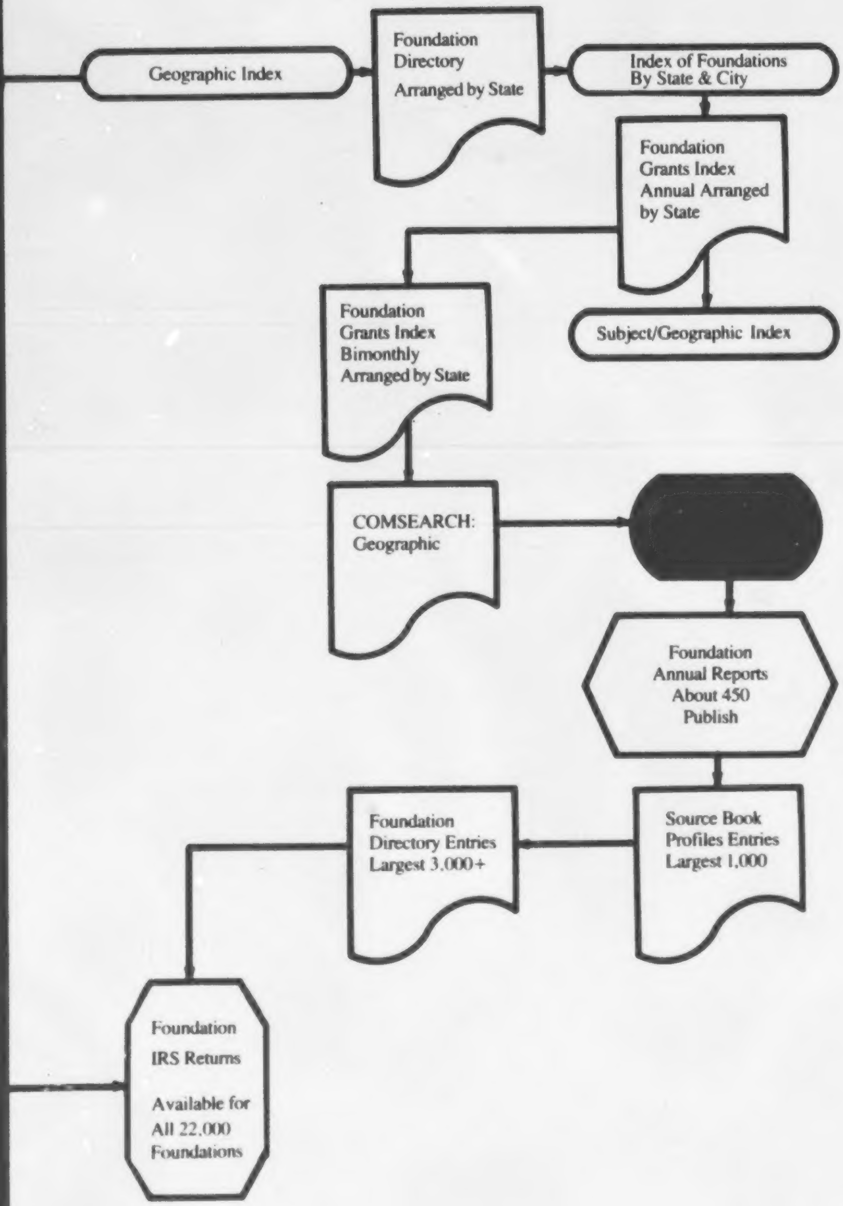
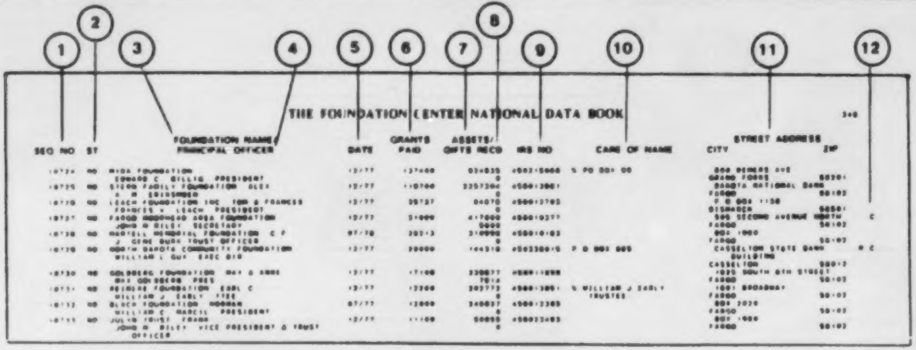

Geographic Index
Foundation Directory Arranged by State
Index of Foundations By State & City
Foundation Grants Index Annual Arranged by State
Subject/Geographic Index
Foundation Grants Index Bimonthly Arranged by State
COMSEARCH: Geographic
Foundation Annual Reports About 450 Publish
Source Book Profiles Entries Largest 1,000
Foundation Directory Entries Largest 3,000+
Foundation IRS Returns Available for All 22,000 Foundations

Figure 15 *National Data Book* Entries


1
2
3
4
5
6
7
8
9
10
11
12
THE FOUNDATION CENTER NATIONAL DATA BOOK
SEQ NO
ST
FOUNDATION NAME/
PRINCIPAL OFFICER
DATE
GRANTS PAID
ASSETS/
GIFTS RECD
IRS NO
CARE OF NAME
STREET ADDRESS
CITY
ZIP

(1) Sequence No. - A unique consecutive number assigned to each foundation providing access through the alphabetical Index.

(2) Code for state where foundation is located.

(3) Foundation Name

(4) Principal Officer - Found directly below the foundation's name, indented one space, is the name of the person designated by the foundation as the chief executive on the IRS returns.

(5) Date - Closing date for the foundation's fiscal or calendar year used for the financial figures listed.

(6) Grants Paid - Annual grants total for the year noted.

(7) Assets - Value of the foundation's holdings at market value at the end of the year indicated.

(8) Gifts Received - Found directly below the foundation's assets is the amount of new funding received by the foundation in the year noted.

(9) IRS No. - A unique nine-digit number assigned to each organization, also known as the Employer Identification Number or EIN.

(10) Care of Name - Included only if necessary for mailing.

(11) Street Address - The street address is indented one space above city and zip code.

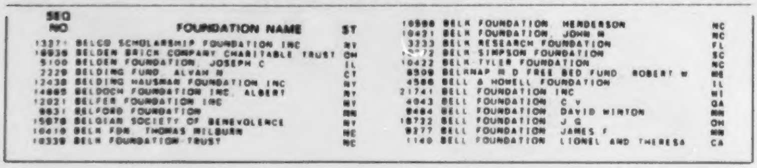
(12) Codes - An "R" indicates that a foundation publishes a report periodically, usually annually, and generally makes such reports available to the public on written request. A "C" indicates a community foundation.

The Center obtains the information for the *Data Book* in computer form directly from the IRS. IRS personnel extract and computerize key pieces of information from the information returns all private foundations file annually (Forms 990-AR and 990-PF). The Center verifies, edits, and reproduces the records in book form, eliminating organizations classified as private foundations by IRS but which made grants totaling less than $1 in the year of the return. This explains why the *National Data Book* includes about 6,000 fewer organizations than the 28,000 that IRS records show as the total number of private foundations.

Records for most of the community foundations in operation are added to this file on private foundations. The Fourth Edition (1979) includes 170 of the approximately 225 community foundations. Because community foundations have a different tax status than private foundations, they file different annual reports with IRS and are not a part of this particular computer file. Entries for all community foundations are coded with the letter "C" for quick identification.

The *National Data Book* is arranged alphabetically by state and, within state, in descending order by annual grants totals. Each foundation listing includes the mailing address, principal officer, IRS identification number, grants total, value of assets at market value, amount of gifts received by the foundation, and the fiscal year of the information. The code letter "R" is used to identify foundations which publish annual reports.

Figure 16 *National Data Book* Index



SEQ NO	FOUNDATION NAME	ST
13371	BELCO SCHOLARSHIP FOUNDATION INC	NY
18836	BELDEN BRICK COMPANY CHARITABLE TRUST	OH
5100	BELDEN FOUNDATION, JOSEPH C	IL
2229	BELDING FUND, ALVAN N	CT
12438	BELDING HAUSMAN FOUNDATION INC	NY
14885	BELDOCH FOUNDATION INC, ALBERT	NY
12021	BELFER FOUNDATION INC	NY
8831	BELFORD FOUNDATION	MN
15070	BELGIAN SOCIETY OF BENEVOLENCE	NY
10410	BELK FDN, THOMAS MILBURN	NC
10339	BELK FOUNDATION TRUST	NC
10590	BELK FOUNDATION, HENDERSON	NC
10421	BELK FOUNDATION, JOHN M	NC
3233	BELK RESEARCH FOUNDATION	FL
1[illegible]72	BELK SIMPSON FOUNDATION	SC
10422	BELK TYLER FOUNDATION	NC
8509	BELKNAP M D FREE BED FUND, ROBERT W	ME
4586	BELL & HOWELL FOUNDATION	IL
21741	BELL FOUNDATION INC	WI
4043	BELL FOUNDATION, C V	GA
8484	BELL FOUNDATION, DAVID WINTON	MN
18732	BELL FOUNDATION, J G	OH
8277	BELL FOUNDATION, JAMES F	MN
1140	BELL FOUNDATION, LIONEL AND THERESA	CA

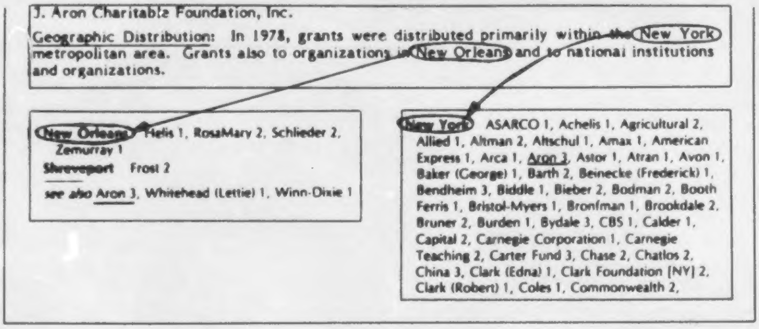
Because of the columnar format of the *Data Book*, it's easy to go down the list of foundations in your state and see immediately which ones are located in particular cities. If you want to check foundations in a broader area, such as a county or standard metropolitan statistical area, you can check the zip code column and note the foundations which fall within the parameters you've established. Be sure to note the asset, grant, and gift totals for each foundation before you put them on your prospect list. If you are seeking a $1,500 grant there is no point in investigating a foundation with assets of $200, grants of $50, and no gifts. Although the information presented in the *Data Book* is brief, it does allow you to make some preliminary observations about each foundation based on its size, location, and principal officer. For example, if a bank or trust department is listed as the principal officer you know making contact with the foundation may be more difficult.

The *National Data Book* also serves as an index to foundation IRS returns. All private foundations file annual returns which are available to the public and are generally the best available source of primary factual data on individual foundations, particularly the large majority of foundations with assets under $1 million. IRS returns and their research value are described fully in Chapter 8.

Source Book Profiles

You'll remember from Chapter 6 that *Source Book Profiles* is a looseleaf service which analyzes the top 1,000 foundations in great detail. Its Geographic Index will tell you immediately which of those 1,000 foundations are located in your area and which others have made grants there. The Index is arranged alphabetically by state and, within state, by city. At the end of each state listing, a "see also" reference cites foundations located elsewhere which have a history of substantial grantmaking in that state. Geographic indexing is based on the classifications contained in the Geographic Distribution section of each profile. This section provides a complete breakdown of each foundation's geographic grantmaking pattern, indicating in which cities, states, or regions organizations have been receiving funding from the foundation.

Figure 17 *Source Book Profiles*, Geographic Distribution Section and Corresponding Index Entry



J. Aron Charitable Foundation, Inc.

Geographic Distribution: In 1978, grants were distributed primarily within the New York metropolitan area. Grants also to organizations in New Orleans and to national institutions and organizations.

New Orleans Helis 1, RosaMary 2, Schlieder 2, Zemurray 1

Shreveport Frost 2

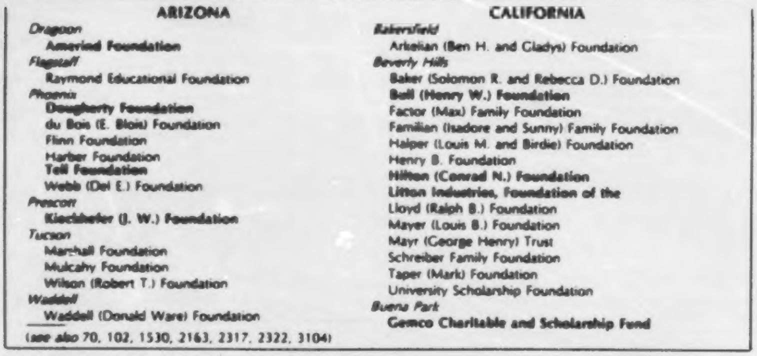
see also Aron 3, Whitehead (Lettie) 1, Winn-Dixie 1

New York ASARCO 1, Achelis 1, Agricultural 2, Allied 1, Altman 2, Altschul 1, Amax 1, American Express 1, Arca 1, Aron 3, Astor 1, Atran 1, Avon 1, Baker (George) 1, Barth 2, Beinecke (Frederick) 1, Bendheim 3, Biddle 1, Bieber 2, Bodman 2, Booth Ferris 1, Bristol-Myers 1, Bronfman 1, Brookdale 2, Bruner 2, Burden 1, Bydale 3, CBS 1, Calder 1, Capital 2, Carnegie Corporation 1, Carnegie Teaching 2, Carter Fund 3, Chase 2, Chatlos 2, China 3, Clark (Edna) 1, Clark Foundation [NY] 2, Clark (Robert) 1, Coles 1, Commonwealth 2,

The Foundation Directory

The *Foundation Directory*, which includes foundations with assets of more than $1 million or grants exceeding $100,000 annually, is arranged alphabetically by state, then foundation name. Its Index of Foundations by State and City lists foundations by the city in which they are located. At the end of each state's listing, additional references are made to the entry numbers of foundations located elsewhere which have a history of grantmaking in that state. Foundations which make grants on a regional or national basis are indicated in italics. You should thoroughly familiarize yourself with the programs of all foundations in your area of a size sufficient to be included in the *Foundation Directory* or *Source Book Profiles*. If yours is a large state, you may want to limit your review to foundations in nearby cities.

Figure 18 *Foundation Directory*, Index of Foundations by State and City



ARIZONA

Dragoon
  Amerind Foundation
Flagstaff
  Raymond Educational Foundation
Phoenix
  Dougherty Foundation
  du Bois (E. Blois) Foundation
  Flinn Foundation
  Harber Foundation
  Tell Foundation
  Webb (Del E.) Foundation
Prescott
  Kieckhefer (J. W.) Foundation
Tucson
  Marshall Foundation
  Mulcahy Foundation
  Wilson (Robert T.) Foundation
Waddell
  Waddell (Donald Ware) Foundation

(*see also* 70, 102, 1530, 2163, 2317, 2322, 3104)

CALIFORNIA

Bakersfield
  Arkelian (Ben H. and Gladys) Foundation
Beverly Hills
  Baker (Solomon R. and Rebecca D.) Foundation
  Ball (Henry W.) Foundation
  Factor (Max) Family Foundation
  Familian (Isadore and Sunny) Family Foundation
  Halper (Louis M. and Birdie) Foundation
  Henry B. Foundation
  Hilton (Conrad N.) Foundation
  Litton Industries, Foundation of the
  Lloyd (Ralph B.) Foundation
  Mayer (Louis B.) Foundation
  Mayr (George Henry) Trust
  Schreiber Family Foundation
  Taper (Mark) Foundation
  University Scholarship Foundation
Buena Park
  Gemco Charitable and Scholarship Fund

COMSEARCH: Geographic

COMSEARCH Printouts in geographic arrangements were introduced in 1980. The first Geographic Series includes printouts listing grants of $5,000 or more to nonprofit organizations in the following ten states and two cities: California, Illinois, Massachusetts, Michigan, Minnesota, New Jersey, New York, Ohio, Pennsylvania, Texas, District of Columbia, and New York City.

The printouts pull together grants from the Center's Grants Index Database by the location of the recipient, allowing you to see which major foundations made grants in particular areas. They also illustrate the types of organizations and programs to which awards have been made. Each geographic printout is arranged alphabetically by the names of the recipient organizations. The grant information listed is identical to that which appears in the *Foundation Grants Index Annual* and the *COMSEARCH: Subject*. The material has simply been rearranged for convenience of use. Each printout also includes a list of grant dollar totals by cities within each state and an alphabetical list of all foundations appearing in the printout.

Foundation Grants Index

The *Foundation Grants Index*, like the *Foundation Directory*, is arranged alphabetically by state and then by foundation name. Many foundations whose grantmaking is restricted to a particular geographic area note this limitation in their grant reports to the Center, and in such cases a notation to that effect is included in all Grants Index publications. As we've already seen, the broad subject index to the annual volume is broken down by the geographic location of grant recipients (Fig 7, page 45). This provides a means of checking the subject interests and geographic grant range of a foundation simultaneously.

By this point you have developed a foundation prospect list using the subject or geographic approach, both approaches, or parts of both. Now let's turn to the most important step in funding research, investigating each of your prospects with respect to your organization and your proposal.

Chapter 8

Learning All You Can About Your Foundation Prospects —How and Why To Do It

WHAT ARE YOU LOOKING FOR?

When you've developed a list of foundations that, on the basis of subject interest or geographic location, seem likely to have a potential interest in your project, the next step is to learn everything you can about each of them. Up to this point you've been adding prospects to your list based on partial evidence of presumed interest in some aspect of your project or your field. Now you have to take a hard look at each foundation and eliminate those that on closer examination seem less likely to consider your proposal favorably.

What facts will you need? The primary areas you will need to research are the foundation's address; staff, officers or board of trustees; asset size; amount of gifts received by the foundation; application procedures; and, most important, its recent grants lists. Beyond these basic facts, there is a range of information you'll find useful and interesting. The availability of information varies from foundation to foundation, but where available, information on a foundation's donors, financial and institutional history, investment portfolio, staff salaries, and future plans is useful as background information. Articles and media references to the foundation give you an idea of the foundation's public image and often provide useful insights into its philosophy and operation.

What should you be looking for in the facts you uncover about each foundation? The most important thing to remember is that your project should fit within the foundation's grantmaking pattern on a number of levels. In examining their complete grants list for the last few years keep in mind the following questions.

- *Has the foundation demonstrated a real commitment to funding in your subject field*? You may have noted one or more grants by a particular foundation in your subject field. Upon examining their full grants list, however, you may find that these few grants were made for reasons other than a commitment to the field. For example, the grants may have been made because of a special relationship with a particular recipient. Some foundations have historic and continuing relationships with particular universities or institutions because of ties to the donor's family or some specified interest of the donor, and they may fund activities at those institutions which do not fall within their normal giving interests. In other cases, grants may have been made because the foundation is interested in the recipient's location rather than their field of endeavor.
- *Does it seem likely that the foundation will make grants to recipients in your geographic location*? It isn't necessary for the foundation to have actually made grants in your state or city, but you should examine grant records carefully for explicit or implied geographic restrictions. Be on the lookout for local or regional giving patterns or concentrations in rural or urban areas.
- *Does the amount of money you are requesting fit within the foundation's grant range*? Obviously you would not request $25,000 from a foundation that has never made a grant larger than $10,000, but look for more subtle distinctions. If a foundation's arts grants range from $10,000 to $20,000 and its social welfare grants are in the $3,000 to $5,000 category, consider the policy emphasis implied by those figures. It's unlikely you'll get a $15,000 grant for a social welfare project from that foundation.
- *Does the foundation have any policy prohibiting grants for the type of support you are requesting*? Many foundations will not make grants for operating budgets. Others will not provide funds for building, equipment, etc. Be sure the foundation is willing to award the type of support you need.
- *Does the foundation like to make grants to cover the full cost of a project or do they favor projects where other foundations or funding sources share the costs*?
- *For what period of time does the foundation generally make grants*? Some foundations favor one-time grants, while others will continue their support over a number of years. It is rare to find foundations which will continue to support an organization indefinitely, however, so be sure you are aware of avenues of support for the future before approaching foundations. They will expect you to have thought through a long-term funding plan for any project in which they might participate.
- *What types of organizations does the foundation tend to support*? Does it favor large, well-established groups like symphonies, universities, and museums or does it seem to lean toward grass-roots

community organizations? A foundation's past recipients will give you a feeling for its focus. Look carefully at the mix of its recipients.

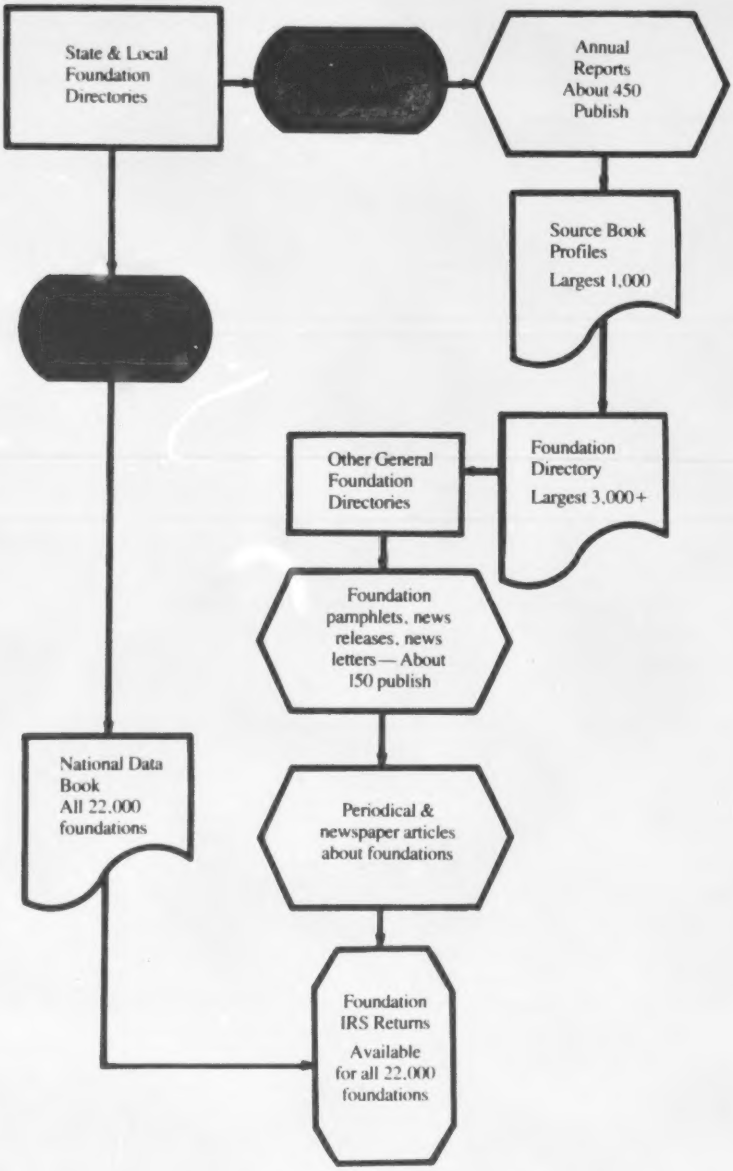
- *Does the foundation have application deadlines or does it review proposals continuously*? Note carefully any information you find about board meeting dates so you can plan to submit your proposals at an appropriate time. Be aware that the time elapsed between submitting a proposal and notification or actual receipt of a grant may be substantial. In planning your program, be sure to allow enough time to obtain the necessary funding. The review and processing of proposals which are seriously considered is rarely accomplished in less than three months and often takes substantially longer.

SUMMARY OF THE RESEARCH STEPS

Where do you find this kind of information about foundations? The amount of available data varies from foundation to foundation depending largely on the foundation's size and staffing, but you should be able to find at least basic facts for every foundation. The following summary gives an overview of the information you can expect to find in the sources described in this chapter. Figure 20 diagrams what is generally the most effective process for reviewing all relevant materials for each foundation being researched.

1. *Foundation Annual Reports* are available for less than two percent of all foundations, but, when published, they are usually the best source of information. If a foundation you're researching has an annual report, be sure to read it thoroughly.
2. *Source Book Profiles* (Foundation Center publication) describes the 1,000 largest foundations in great detail. The statistical analyses of each foundation's recent grants is particularly useful in seeing if you fit within a particular foundation's grantmaking pattern.
3. *The Foundation Directory* (Foundation Center publication) provides an overview of the interests, activities and financial status of the top 3,138 foundations. It also notes any restrictions a foundation may impose, such as limitations on the geographic boundaries of its grantmaking or the type of awards it will and will not make. This is a good place to check for a preliminary impression of a foundation's suitability.
4. *The National Data Book* (Foundation Center publication) gives concise fiscal profiles of all active foundations. Particularly for smaller foundations, this is a good place to check for a quick profile of size and activity level.
5. *Internal Revenue Service Information Returns* are available for all private foundations. They are often the only source of information on small foundations, and you may want to consult this primary research document for supplementary information on larger foundations.

Figure 19 Researching Your Prospects: Finding Out More About the Foundations You've Selected


State & Local Foundation Directories
Annual Reports About 450 Publish
Source Book Profiles Largest 1,000
Foundation Directory Largest 3,000+
Other General Foundation Directories
Foundation pamphlets, news releases, news letters — About 150 publish
Periodical & newspaper articles about foundations
National Data Book All 22,000 foundations
Foundation IRS Returns Available for all 22,000 foundations

Most valuable to the grantseeker are the complete list of grants awarded and paid, names of officers and trustees, full fiscal details, and address and telephone number.

6. *Pamphlets, Newsletters and News Releases* distributed by foundations are a good source of supplementary information. Since fewer than 150 foundations distribute this type of material, however, it is a limited resource.
7. *Newspaper and Magazine Articles* generally focus on larger foundations which are of more general public interest. When available, these are good sources of background and supplemental information.

DETAILS ON THE INFORMATION SOURCES

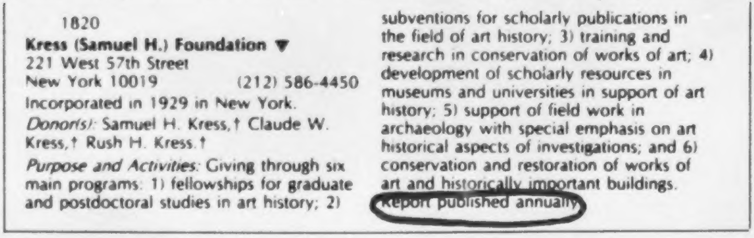
Foundation Annual Reports

Foundations are not required by law to compile and distribute separately printed annual reports, and only about 450 publish them. Because a foundation that distributes an annual report is usually interested in informing the public about its activities, the best single source of information about that foundation is generally its most recent report. In the report you'll usually find detailed financial statements, a comprehensive list of grants awarded and committed for future payment, the names of officers and staff members, and a definition of program interests. A printed annual report frequently includes recommendations from the foundation about the application procedures you should follow. The foundation may ask applicants to use a particular proposal format or may prefer one time of the year for the submission of requests. This type of information may not be available anywhere else.

There are many reasons why an annual report is preferable to other sources of information about a foundation. It is usually the most current source, and it collects all of the important information about a foundation in one place. Generally annual reports contain the most complete details regarding the purposes of the foundation's grants or the programs it has funded. A reading of a foundation's description of itself, combined with a careful study of its grants, will give you a good insight into that foundation's operating philosophy. You can write to a foundation to find out if it publishes an annual report or you can check in *Source Book Profiles*, *The Foundation Directory*, or the *Foundation Center National Data Book*, all of which include a notation if a foundation has published a report recently. Because the number of foundations publishing reports is so small, it's best to check the published sources first so you don't waste time requesting reports from foundations which don't publish them.

A recent Foundation Center survey found that about 92 percent of the annual reports collected by its libraries in the last year were published by foundations large enough to be included in *The Foundation Directory*, that is, foundations having assets of more than $1 million or annual grants

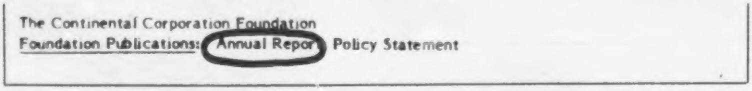
Figure 20 *Foundation Directory*, Annual Report Notation



1820
Kress (Samuel H.) Foundation ▼
221 West 57th Street
New York 10019 (212) 586-4450
Incorporated in 1929 in New York.
Donor(s): Samuel H. Kress,† Claude W. Kress,† Rush H. Kress.†

Purpose and Activities: Giving through six main programs: 1) fellowships for graduate and postdoctoral studies in art history; 2) subventions for scholarly publications in the field of art history; 3) training and research in conservation of works of art; 4) development of scholarly resources in museums and universities in support of art history; 5) support of field work in archaeology with special emphasis on art historical aspects of investigations; and 6) conservation and restoration of works of art and historically important buildings. Report published annually.

Figure 21 *Source Book Profiles*, Annual Report Notation



The Continental Corporation Foundation
Foundation Publications: Annual Report, Policy Statement

totaling over $100,000. The Center only received about 30 reports from foundations of a smaller size. Because such a large percentage of foundations publishing annual reports are included in the *Directory*, it is probably the best place to check first. But as the examples in Figures 21 and 22 illustrate, it's also easy to find the notation about an annual report in *Source Book Profiles* and the *National Data Book*.

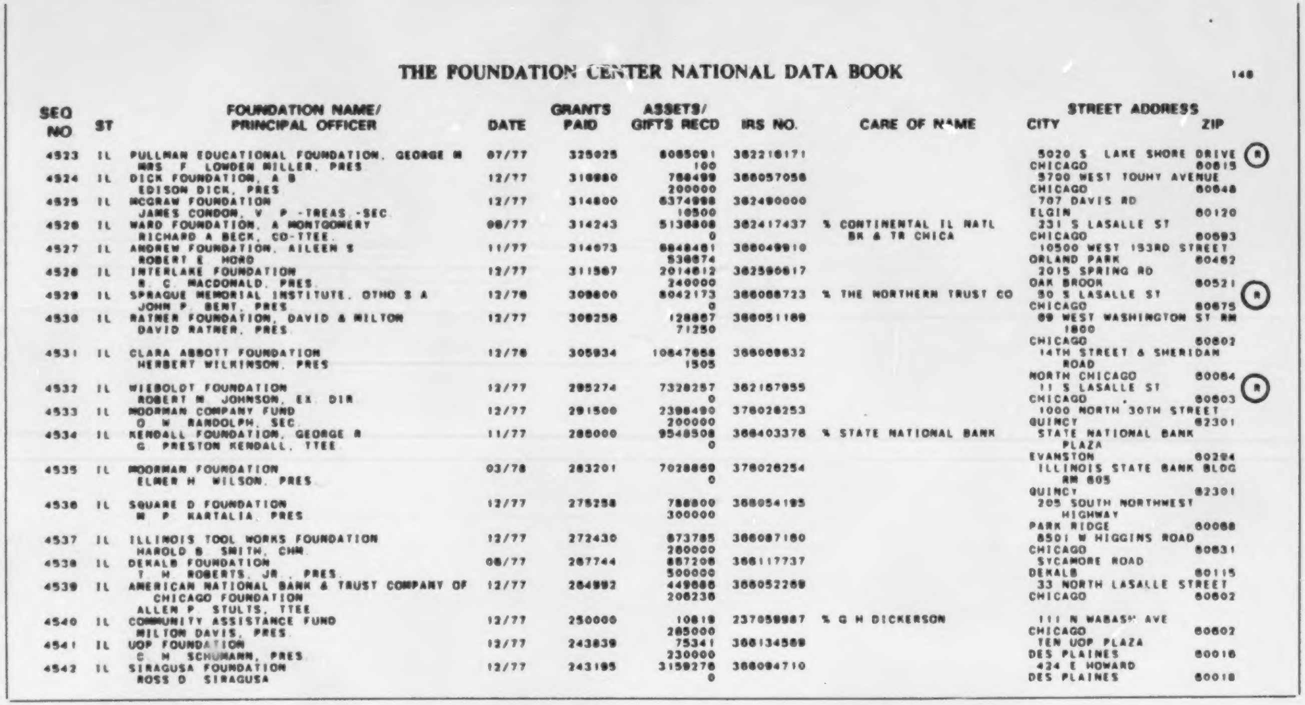
Source Book Profiles

After its own published report the most comprehensive source of information about a foundation is *Source Book Profiles*. This bimonthly looseleaf service includes in-depth analyses of the 1,000 U.S. foundations with the largest annual grant totals. Completely revised profiles are issued for half of these foundations each year. Changes in address, telephone, personnel or program at any of the top 1,000 foundations are noted in a bimonthly news supplement called *Foundation Profile Updates*. Examples of the type of information provided in the updates are shown in Figure 23.

The sample profile in Figure 24 illustrates what you will find for each foundation in *Source Book Profiles*. The heart of each profile is the grants analysis. All of the grants made by the foundation in the last year are reviewed, classified, and analyzed, and a statistical summary is developed. You can see at a glance the number of grants, amount of money, and percentage of the foundation's total giving that is concentrated in each program area in which it is active. A cross section of sample grants is included to provide a sense of the type and size of grants awarded in each category.

Profiles also include foundation addresses, telephone numbers, staff and trustee names, detailed background information, notations about avail-

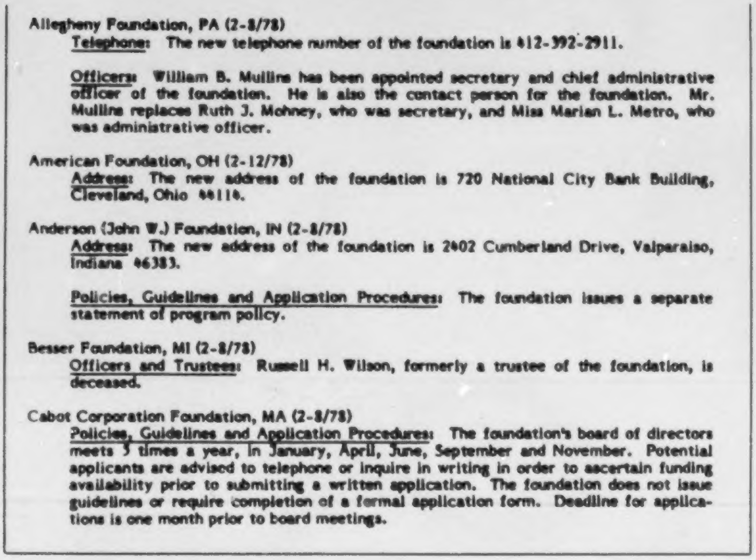
Figure 22 *National Data Book*, Annual Report Notation



THE FOUNDATION CENTER NATIONAL DATA BOOK 148

SEQ NO	ST	FOUNDATION NAME/ PRINCIPAL OFFICER	DATE	GRANTS PAID	ASSETS/ GIFTS RECD	IRS NO.	CARE OF NAME	STREET ADDRESS CITY	ZIP	
4523	IL	PULLMAN EDUCATIONAL FOUNDATION, GEORGE M MRS F LOWDEN MILLER, PRES	07/77	325025	6065091 100	362216171		5020 S LAKE SHORE DRIVE CHICAGO	60615	Ⓡ
4524	IL	DICK FOUNDATION, A B EDISON DICK, PRES	12/77	318880	788499 200000	366057056		5700 WEST TOUHY AVENUE CHICAGO	60646	
4525	IL	MCGRAW FOUNDATION JAMES CONDON, V P -TREAS -SEC	12/77	314800	6374998 10500	362490000		707 DAVIS RD ELGIN	60120	
4526	IL	WARD FOUNDATION, A MONTGOMERY RICHARD A BECK, CO-TTEE	08/77	314243	5138808 0	362417437	% CONTINENTAL IL NATL BK & TR CHICA	231 S LASALLE ST CHICAGO	60693	
4527	IL	ANDREW FOUNDATION, AILEEN S ROBERT E HORD	11/77	314073	6648461 538674	366049910		10500 WEST 153RD STREET ORLAND PARK	60462	
4528	IL	INTERLAKE FOUNDATION R C MACDONALD, PRES	12/77	311567	2014612 240000	362590617		2015 SPRING RD OAK BROOK	60521	
4529	IL	SPRAGUE MEMORIAL INSTITUTE, OTHO S A JOHN P BENT, PRES	12/78	309600	6042173 0	366068723	% THE NORTHERN TRUST CO	50 S LASALLE ST CHICAGO	60675	Ⓡ
4530	IL	RATNER FOUNDATION, DAVID & MILTON DAVID RATNER, PRES	12/77	308256	128867 71250	366051169		69 WEST WASHINGTON ST RM 1800 CHICAGO	60602	
4531	IL	CLARA ABBOTT FOUNDATION HERBERT WILKINSON, PRES	12/78	305934	10647668 1505	366069632		14TH STREET & SHERIDAN ROAD NORTH CHICAGO	60064	
4532	IL	WIEBOLDT FOUNDATION ROBERT M JOHNSON, EX DIR	12/77	295274	7328257 0	362167955		11 S LASALLE ST CHICAGO	60603	Ⓡ
4533	IL	MOORMAN COMPANY FUND O W RANDOLPH, SEC	12/77	291500	2398490 200000	376028253		1000 NORTH 30TH STREET QUINCY	62301	
4534	IL	KENDALL FOUNDATION, GEORGE R G PRESTON KENDALL, TTEE	11/77	286000	9548508 0	366403378	% STATE NATIONAL BANK	STATE NATIONAL BANK PLAZA EVANSTON	60204	
4535	IL	MOORMAN FOUNDATION ELMER H WILSON, PRES	03/78	283201	7028869 0	376028254		ILLINOIS STATE BANK BLDG RM 605 QUINCY	62301	
4536	IL	SQUARE D FOUNDATION M P KARTALIA, PRES	12/77	275258	788800 300000	366054195		205 SOUTH NORTHWEST HIGHWAY PARK RIDGE	60068	
4537	IL	ILLINOIS TOOL WORKS FOUNDATION HAROLD B SMITH, CHM	12/77	272430	673785 280000	366087160		8501 W HIGGINS ROAD CHICAGO	60631	
4538	IL	DEKALB FOUNDATION T H ROBERTS, JR , PRES	06/77	267744	867206 500000	366117737		SYCAMORE ROAD DEKALB	60115	
4539	IL	AMERICAN NATIONAL BANK & TRUST COMPANY OF CHICAGO FOUNDATION ALLEN P STULTS, TTEE	12/77	264892	449686 206236	366052269		33 NORTH LASALLE STREET CHICAGO	60602	
4540	IL	COMMUNITY ASSISTANCE FUND MILTON DAVIS, PRES	12/77	250000	10819 285000	237059987	% G H DICKERSON	111 N WABASH AVE CHICAGO	60602	
4541	IL	UOP FOUNDATION C H SCHUMANN, PRES	12/77	243839	75341 230000	366134569		TEN UOP PLAZA DES PLAINES	60016	
4542	IL	SIRAGUSA FOUNDATION ROSS D SIRAGUSA	12/77	243195	3159278 0	366094710		424 E HOWARD DES PLAINES	60018	

Figure 23 *Source Book Profiles*, Foundation Profile Updates Entries



Allegheny Foundation, PA (2-8/78)

Telephone: The new telephone number of the foundation is 412-392-2911.

Officers: William B. Mullins has been appointed secretary and chief administrative officer of the foundation. He is also the contact person for the foundation. Mr. Mullins replaces Ruth J. Mohney, who was secretary, and Miss Marian L. Metro, who was administrative officer.

American Foundation, OH (2-12/78)

Address: The new address of the foundation is 720 National City Bank Building, Cleveland, Ohio 44114.

Anderson (John W.) Foundation, IN (2-8/78)

Address: The new address of the foundation is 2402 Cumberland Drive, Valparaiso, Indiana 46383.

Policies, Guidelines and Application Procedures: The foundation issues a separate statement of program policy.

Besser Foundation, MI (2-8/78)

Officers and Trustees: Russell H. Wilson, formerly a trustee of the foundation, is deceased.

Cabot Corporation Foundation, MA (2-8/78)

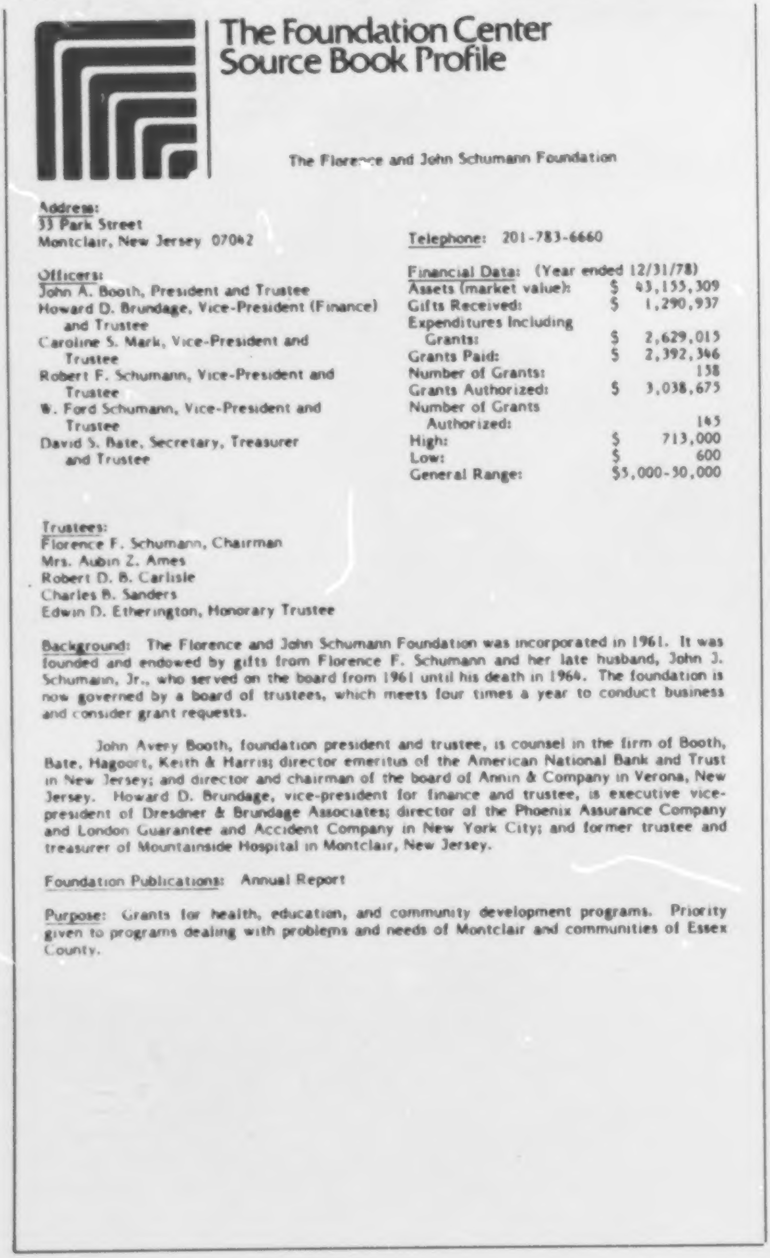
Policies, Guidelines and Application Procedures: The foundation's board of directors meets 5 times a year, in January, April, June, September and November. Potential applicants are advised to telephone or inquire in writing in order to ascertain funding availability prior to submitting a written application. The foundation does not issue guidelines or require completion of a formal application form. Deadline for applications is one month prior to board meetings.

able foundation publications, information about application procedures, complete fiscal information, and analyses of the types of support the foundation has awarded, the types of recipients it has selected, and the geographic concentration of its grants. At the end of each profile the sources used in compiling the profile are listed, and the date it was prepared is noted. Before any profile is published, it is sent to the foundation for review and comments, and any changes or additional information supplied by the foundation are incorporated. When a profile has been verified by the foundation, and about 70 percent are, you'll find a small 'fv' under the date of publication on the last page of the profile.

As we saw in the chapters on subject and geographic research, *Source Book Profiles* has four indexes: Foundation Name; Index of Subjects; Index of Types of Support; and Geographic Index. The Index of Foundations allows you to look up any foundation you're researching to see if it has been profiled. The series in which the profile appeared is noted next to the foundation name, as is the month and year the profile was issued and the month and year of any updates on the foundation appearing in *Foundation Profile Updates*.

Each annual set of profiles is labeled with a series number. Series One profiles were issued from August 1977 to July 1978; Series Two from August 1978 to July 1979; Series Three from August 1979 to July 1980; and so on. Because of its looseleaf format, *Source Book Profiles* can be arranged according to the needs of the user. In The Foundation Center's New York

Figure 24 *Source Book Profile* Entry



The Foundation Center Source Book Profile

The Florence and John Schumann Foundation

Address:
33 Park Street
Montclair, New Jersey 07042

Telephone: 201-783-6660

Officers:
John A. Booth, President and Trustee
Howard D. Brundage, Vice-President (Finance) and Trustee
Caroline S. Mark, Vice-President and Trustee
Robert F. Schumann, Vice-President and Trustee
W. Ford Schumann, Vice-President and Trustee
David S. Bate, Secretary, Treasurer and Trustee

Financial Data: (Year ended 12/31/78)		
Assets (market value):	$	43,155,309
Gifts Received:	$	1,290,937
Expenditures Including Grants:	$	2,629,015
Grants Paid:	$	2,392,346
Number of Grants:		138
Grants Authorized:	$	3,038,675
Number of Grants Authorized:		145
High:	$	713,000
Low:	$	600
General Range:		$5,000-50,000

Trustees:
Florence F. Schumann, Chairman
Mrs. Aubin Z. Ames
Robert D. B. Carlisle
Charles B. Sanders
Edwin D. Etherington, Honorary Trustee

Background: The Florence and John Schumann Foundation was incorporated in 1961. It was founded and endowed by gifts from Florence F. Schumann and her late husband, John J. Schumann, Jr., who served on the board from 1961 until his death in 1964. The foundation is now governed by a board of trustees, which meets four times a year to conduct business and consider grant requests.

John Avery Booth, foundation president and trustee, is counsel in the firm of Booth, Bate, Hagoort, Keith & Harris; director emeritus of the American National Bank and Trust in New Jersey; and director and chairman of the board of Annin & Company in Verona, New Jersey. Howard D. Brundage, vice-president for finance and trustee, is executive vice-president of Dresdner & Brundage Associates; director of the Phoenix Assurance Company and London Guarantee and Accident Company in New York City; and former trustee and treasurer of Mountainside Hospital in Montclair, New Jersey.

Foundation Publications: Annual Report

Purpose: Grants for health, education, and community development programs. Priority given to programs dealing with problems and needs of Montclair and communities of Essex County.

Grant Analysis

In 1978, the foundation authorized 145 grants totaling $3,038,675 and paid 158 grants totaling $2,392,346, reflecting its stated interests and purposes. Education received the largest share of the grants authorized (47%), including the highest grant of the year, $713,000 to Montclair Kimberly Academy, which acounted for more than half of the education funds alloted. Other recipients in this category included special programs for the disadvantaged (145,000); alternative schools (113,000); colleges and prep schools ($112,000); scholarship programs ($78,900); pilot projects ($59,000); and the Montclair Board of Education ($25,000). The total authorized for education doubled since 1976, when $652,250 was planned for disbursement.

The second largest portion of funds (42%) was authorized in 78 grants for community development purposes, which the foundation defines very broadly. Recipients included community programs and planning agencies in Greater Newark; social service agencies including day care, senior citizen, youth, Hispanic, alcoholism, and special transportation for the handicapped programs; cultural and ecology programs; and legal services for minorities, crime prevention and reform, and special facilities. Ten grants of $5,000 each were awarded as Project SNAP Grants (Stimulate the Neighborhood Action Process) to neighborhood agencies to develop new ideas and approaches to promote neighborhood goals in Newark.

Health grants (11%) were authorized for services and research concerning the eye and the ear, handicapped individuals and mental health, and for community health programs. In addition, a grant of $35,000 was awarded to a medical college. Less than 1% of funds were authorized as contributions to five miscellaneous groups concerning public interest, public television, the opera, and an historical society.

The majority of the grants authorized were paid, at least in part, during 1978. Certain grants are payable only upon the raising of a matching amount by the intended recipient. Such grants amounted to $750,000 in 1978.

	No. of grants	Amount	Percent of grant dollars
Education	44	$1,407,900	46
Community Development	78	1,274,975	42
Health	18	337,500	11
Other	5	18,300	Less than 1%
	145	$3,038,675	100%

Types of Support: In general, support for continuing support, annual campaigns, seed money/startup funds, scholarships, matching or challenge grants, and demonstration projects. In 1978, support for building funds, renovations, equipment, annual campaigns, operating budgets, matching funds, deficit financing, seed money, demonstration projects, scholarships and internships, publications, research, and special projects. Both single and multiple-year grants are awarded. No grants for endowments.

Recipient Type: In 1978, recipients were educational organizations including special programs for the disadvantaged, alternative schools, prep schools, colleges, scholarship programs including minority funds, and boards of education; community development organizations including planning agencies, social service agencies such as programs for youth, the elderly, day care, Hispanics, alcoholism, transportation for the handicapped, and legal services; cultural programs including libraries and performing arts groups; ecology organizations; health associations, research and service agencies, and a medical college; and miscellaneous organizations including public interest, public television, the New Jersey State Opera, and an historical society. No grants to individuals.

Figure 24 *Continued*

Geographic Distribution: Highest priority is given to programs in Essex County, New Jersey, although national and regional programs are considered if they show promise of having a significant impact on the needs of Essex County. In 1978, 85% of the grants were awarded to organizations in Essex County, with 40% in Montclair, 33% in Newark, and 12% in other parts of the county. The remaining recipients (15%) were located outside of Essex County, including some in other states such as Arizona, Connecticut, Illinois, Kentucky, Massachusetts, New Hampshire, New York, Virginia, Washington, D.C., and Wisconsin.

Grants: The following is a list of sample grants illustrative of the foundation's giving in 1978. The foundation's grants are recorded in the annual and bimonthly Foundation Grants Index.

Education

Montclair Kimberley Academy, NJ Three-year challenge grant for capital campaign, $700,000 Educational program, $8,000 Community scholars program, $5,000	$713,000
Governor Dummer Academy, South Byfield, MA Three-year capital campaign grant, $75,000 Educational program, $8,000	83,000
United Negro College Fund, Inc., Newark, NJ Financial aid for minority students from New Jersey to attend UNCF member colleges	45,000
The Chad School, Newark, NJ For alternative education for elementary and junior age children in Newark	30,000
Catholic Community Services, Newark, NJ To support Our Lady of Mount Carmel School's special education program for handicapped youth	20,000
Aspira, Inc., of New Jersey, Newark To support educational program of Newark's Hispanic community	10,000
University of Wisconsin, Stevens Point For a special project to place a mosaic mural on the wall of the College of Natural Resources Building	10,000
Montclair Child Development Center, Inc., NJ To help establish a community Parent Enrichment Program	4,000
Berea College, KY Student aid for unique work-study program	900

Community Development

Frost Valley YMCA, Montclair, NJ Four-year grant to support special campaign for land and program development	100,000
Greater Newark Urban Coalition, Inc., NJ For general support of agency that is mediator, idea generator, and catalyst for upgrading the quality of life in the greater Newark area	50,000
F.O.C.U.S. Newark, Inc., NJ To support program providing services to Newark's Hispanic community and a $5,000 SNAP Grant (Stimulating the Neighborhood Action Progress)	25,000
State of New Jersey, Department of Human Services, Trenton To support model project training seniors as lay therapists to provide home services in Essex County child abuse and neglect cases	25,000

The BC POPS, Binghamton, NY Three-year grant toward the development of self-sufficient arts program	$ 21,000
West Orange Family-Youth Service, NJ For community counseling program to divert youth from criminal justice system	12,000
Montclair Rehabilitation Organization, NJ For operating costs of special transportation program for the handicapped	10,000
American Red Cross--Montclair Chapter, NJ For costs of air conditioning a blood donor room and interior renovations of building	8,000
Public Interest Research Foundation of New Jersey, Trenton For Clean Water Action Project through stream walking and waste discharge permit checking to control pollution	2,000

Health

Cheshire Home in New Jersey, Madison For planned residential health care facility for young adults with severe physical disabilities (Challenge grant for $25,000)	50,000
National Medical Fellowships, Inc., New York, NY Medical scholarships for needy minority students to study in New Jersey	35,000
The Silent News, Inc., Wayne, NJ For monthly publication and meaningful services for the deaf	20,000
The Deron School, Montclair, NJ For cost of special exercise equipment in the schools for children with multiple handicaps	5,000

Other

WNET/Channel 13, New York, NY	7,500
New Jersey Historical Society, Newark, NJ	600

Policies, Guidelines and Application Procedures: The foundation states that it is strongly interested in creative, innovative, and experimental programs involving community residents themselves in efforts to solve or alleviate problems. There is no standard application form to be used in presenting a request to the foundation. It is suggested, however, that a written proposal be submitted which includes a description of the organization's objectives and activities, its leadership, and a description in some detail of the purpose for which assistance is requested. The proposal should be accompanied by:

1. a copy of the organization's latest financial statement
2. an expense budget which specifically identifies all sources of income
3. the time frame and future funding plans
4. Internal Revenue Service documents confirming the organization's status as being tax-exempt and not a private foundation.

Proposals should reach the foundation by February 1, May 1, September 1, or November 1, in each case a month prior to the meeting of the board of trustees. The foundation acknowledges receipt of proposals and grants interviews after a proposal is filed. A prospective grantee can expect to wait 1½ months for notification of final action on a proposal.

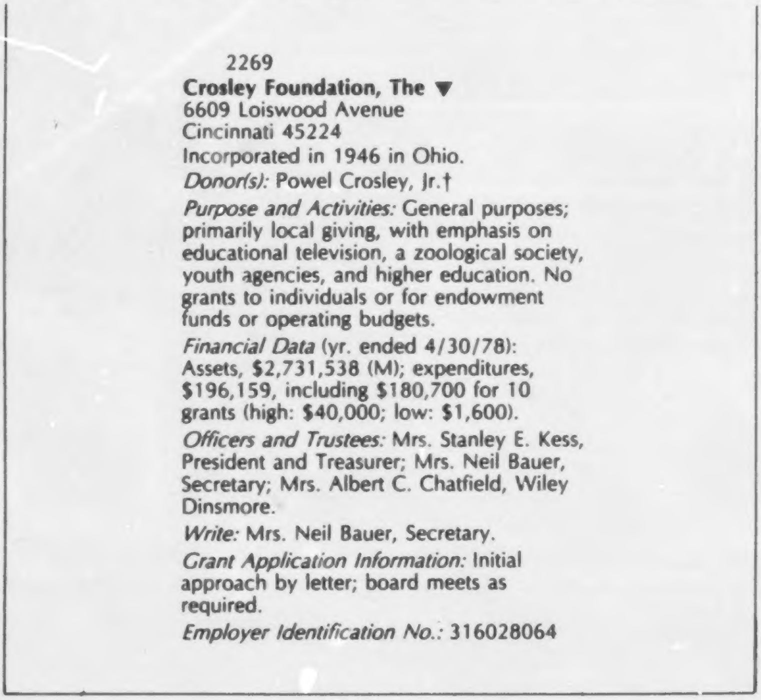
Sources: Annual Report, 990-PF, Information supplied by the foundation.

library the profiles are arranged alphabetically by foundation name, but other libraries may arrange them by state or date issued. If you are going to use *Profiles*, be sure to check the arrangement first.

The Foundation Directory

The Foundation Directory covers a larger number of foundations than *Source Book Profiles* (about 3,100 to *Source Book Profiles'* 1,000) but includes less detail on each, as you can see in Figure 25. Entries for all foundations which are also covered in *Source Book Profiles* are identified by the following symbol ▼.

Figure 25 *Foundation Directory* Entry



2269
Crosley Foundation, The ▼
6609 Loiswood Avenue
Cincinnati 45224
Incorporated in 1946 in Ohio.
Donor(s): Powel Crosley, Jr.†
Purpose and Activities: General purposes; primarily local giving, with emphasis on educational television, a zoological society, youth agencies, and higher education. No grants to individuals or for endowment funds or operating budgets.
Financial Data (yr. ended 4/30/78): Assets, $2,731,538 (M); expenditures, $196,159, including $180,700 for 10 grants (high: $40,000; low: $1,600).
Officers and Trustees: Mrs. Stanley E. Kess, President and Treasurer; Mrs. Neil Bauer, Secretary; Mrs. Albert C. Chatfield, Wiley Dinsmore.
Write: Mrs. Neil Bauer, Secretary.
Grant Application Information: Initial approach by letter; board meets as required.
Employer Identification No.: 316028064

The Foundation Directory includes all foundations with assets greater than $1 million or annual grants of more than $100,000. The *Directory* includes community foundations meeting these criteria, as well as an appendix listing the remaining, smaller community foundations with their address, brief fiscal information, and the year of organization. The Seventh Edition contains 3,138 foundations, the number meeting the asset and grant criteria in 1979. The foundations included in the Seventh Edition represent about 94 percent of all foundation assets and 93 percent of foundation grants.

The Foundation Directory is an excellent tool for learning certain basic things about a foundation: general program interests; financial status; the names of officers and trustees; address and telephone number; the establishment date; the donor's name; whether the foundation has any specific grant application forms, procedures or deadlines; and who to write for more information. *The Foundation Directory* does not provide enough information by itself, however, to permit you to make an informed decision as to whether it would be appropriate to submit a proposal to that foundation. You must go beyond *The Foundation Directory* to inform yourself adequately. If the foundation you're researching does not publish an annual report and is not included in *Source Book Profiles*, the resource to consult after the *Directory* is the foundation's IRS record, which we'll discuss shortly.

There are four indexes to the *Directory*, two of which we examined in the subject and geographic research chapters (the Index of Fields of Interest and the Index of Foundations by State and City). The third index, the Index of Foundations, is an alphabetical list of the foundations included in the *Directory* with their state location and the number of the foundation's entry. Because the *Directory* is arranged by state, the alphabetical index is the place to check to see if the foundations you're researching are included.

The final index is the Index of Donors, Trustees and Administrators. This is a personal name index listing all donors, officers, trustees, and other individuals included in *Directory* entries. This index can be used to identify the foundation affiliations of particular individuals; to find out if any of your own board members, alumni, or contacts are associated with any foundations; to see if foundation personnel you've dealt with are associated with other foundations; or to check the foundation connections of persons in your city or state.

National Data Book

You'll remember that the *National Data Book* was particularly useful for researching foundations by geographic location. Because it is the only comprehensive foundation listing published, it is also a good source of basic facts about specific foundations. It includes the foundation's address, principal officer, and fiscal totals for assets, grants, and gifts, and indicates whether a foundation publishes an annual report. The *Data Book* is used most frequently to verify a foundation's existence and current activity level, to find out in what state a foundation is located, and to get a preliminary idea of whether a foundation is of a size appropriate for your needs. Table 11 reviews the differences in foundation coverage in *Source Book Profiles*, *The Foundation Directory*, and the *National Data Book*.

Table 11 Coverage Comparisons of Three Foundation Center Directories

The Foundation Center National Data Book	The Foundation Directory, Edition 6	Foundation Center Source Book Profiles
All Grant Making Foundations *22,000*	*Foundations: Assets Over $1 Million &/or Making Total Annual Grants Over $100,000* *3,138*	*Foundations Making Total Annual Grants Over $200,000* *1,000*
FOUNDATION NAME & ADDRESS	FOUNDATION NAME & ADDRESS	FOUNDATION NAME & ADDRESS
	Telephone Number	Telephone Number
PRINCIPAL OFFICER	PRINCIPAL OFFICER	PRINCIPAL OFFICER
	All Officers & Directors	All Officers & Directors
	Person to Contact	Person to Contact
		Program Staff
		BACKGROUND
	PURPOSE	PURPOSE
TOTAL ASSETS, GIFTS RECEIVED	TOTAL ASSETS, GIFTS RECEIVED	TOTAL ASSETS, GIFTS RECEIVED
	Expenditures	Expenditures
TOTAL GRANTS	TOTAL GRANTS	TOTAL GRANTS
	Number of Grants, High & Low Grant	Number of Grants, High & Low Grant
		Average Size Grant
		Grants Analysis
		Number of Grants by Field of Interest
		Percent of Grants by Field of Interest
		Dollar Amount of Grants by Field of Interest
		TYPE OF SUPPORT
		RECIPIENT TYPE
		GEOGRAPHIC DISTRIBUTION
		SAMPLE GRANTS BY FIELD OF INTEREST
	BASIC APPLICATION INFORMATION	FULL APPLICATION INFORMATION, POLICIES & GUIDELINES
Foundation listed by STATE in descending grants size Alphabetical Index Volume	Foundation listed by STATE INDEXES: FIELDS OF INTEREST (general) CITY & STATE ALPHABETICAL: DONORS, TRUSTEES, ADMINISTRATORS	Arrangement varies (looseleaf format) INDEXES: FIELDS OF INTEREST (detailed) CITY & STATE ALPHABETICAL TYPES OF SUPPORT
Two paper bound volumes, $45	*Hardcover volume, 594 p., $41.50*	*Bimonthly looseleaf service, cumulative indexes & updating, $200 per series of 500 (2 series)*

Internal Revenue Service Foundation Returns

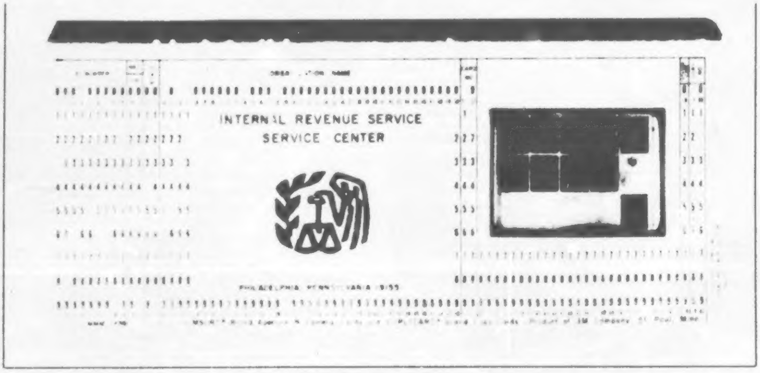
All private foundations are required to file two information returns annually with the Internal Revenue Service, forms 990-AR and 990-PF. Federal law requires that, unlike personal tax returns, these returns be made available to the public by both the IRS and by the foundations themselves. This means that for every foundation there is a public record which provides basic facts about the foundation, its operation, and its grants. For the majority of small foundations this is the only available research tool. For the larger foundations it provides a source of accurate and consistent data to supplement whatever other information is available.

Form 990-AR. The letters "AR" stand for annual report, but this document does not resemble a typical printed foundation annual report. The 990-AR is a four-page form with supplementary schedules. One of the most important elements of this IRS record is the complete list of grants it includes. Generally the list contains the amount of each grant and the name of the recipient. Unfortunately, few IRS reports contain any amplification of this basic grant record, such as descriptions of the grants or even the location of the recipient organizations. Though the 990-AR form may not provide as much information about a foundation's grants as we might like, it does provide basic data, and it is readily available. Not only must every foundation file Form 990-AR with the IRS, but a copy of the return must also be made available in the foundation's principal office for 180 days after the filing date. The filing date is four and a half months after the end of the foundation's fiscal year, which means that for the majority of foundations which operate on a calendar year, the filing date is May 15. The foundation must announce in a newspaper of general circulation that the form is available for inspection. You will find these announcements in the "Public Notices" section of local or financial newspapers. The foundation is not required to give you a copy of the form, but it must make an examination copy available to you in its office.

Form 990-PF. The IRS uses Form 990-PF (the PF standing for private foundation) to determine whether a private foundation is complying with the Internal Revenue Code and the Tax Reform Acts of 1969 and 1976. On this form you'll find: the address of the foundation, total assets, receipts and expenditures, compensation of officers, a complete list of grants, and a record of its financial transactions during the year.

Where To Find Copies of Foundation IRS Returns. As we've already noted, foundations must make copies of their 990-AR available for public inspection in their offices. There are a number of other ways that you can review foundation IRS records. The IRS microfilms the 990-AR and the 990-PF forms after they have been reviewed and processed. The filmed records are then mounted on key-punched computer cards called aperture cards (Figure 26).

Figure 26 Aperture Card



Complete sets of IRS records for all foundations in the country are available for free public use in The Foundation Center's libraries in New York and Washington, D.C. The Center's field offices in San Francisco and Cleveland contain IRS records for foundations in the western and midwestern states respectively. The Center's cooperating collections, listed in Appendix F, generally have the IRS returns for all foundations in their state.

The IRS also makes copies of foundation information returns available to the public through its district offices (see partial listing in Chapter 4, Table 8). Write to your local district office specifying the returns you wish to review. The district office can obtain copies of foundation returns for any state, but it may take from four to six weeks for out-of-state returns to arrive. The district office will notify you when the requested returns are available, and you can inspect them in the office at no charge or make paper or microfilm copies of the return to take with you.

Microform and paper copies of foundation returns are also available for purchase from IRS. You can order copies of individual foundation returns or of returns for all foundations in particular states. Prices for complete state sets of foundation returns on aperture cards are shown in Table 12.

Table 12 Internal Revenue Service Aperture Card Price List By State For 1978 Returns

State	Price	State	Price
Alabama	$54.	Nebraska	54.
Alaska	4.	Nevada	11.
Arizona	43.	New Hampshire	67.
Arkansas	41.	New Jersey	244.
California	698.	New Mexico	14.
Colorado	82.	New York	1,705.
Connecticut	228.	North Carolina	146.
Delaware	50.	North Dakota	16.
District of Columbia	93.	Ohio	409.
Florida	229.	Oklahoma	56.
Georgia	148.	Oregon	68.
Hawaii	31.	Pennsylvania	521.
Idaho	14.	Rhode Island	43.
Illinois	524.	South Carolina	49.
Indiana	161.	South Dakota	11.
Iowa	96.	Tennessee	86.
Kansas	69.	Texas	370.
Kentucky	53.	Utah	37.
Louisiana	66.	Vermont	27.
Maine	48.	Virginia	138.
Maryland	139.	Washington	111.
Massachusetts	502.	West Virginia	23.
Michigan	244.	Wisconsin	233.
Minnesota	181.	Wyoming	12.
Mississippi	27.	Puerto Rico	2.
Missouri	205.	All Other	31.
Montana	$22.	**Complete Set:**	**$8,536.**

When you order aperture cards or paper photocopies of IRS forms for specific foundations, include the following information in your order: full name of foundation, city and state in which it is located, the year of the return desired, and, if available, the Employer Identification Number (EIN). This last item will speed your order. The EIN is given in each foundation's listing in the *National Data Book*. If you have access to earlier returns for the foundation, you will also find the EIN on page one of Form 990-PF or page two of the 990-AR.

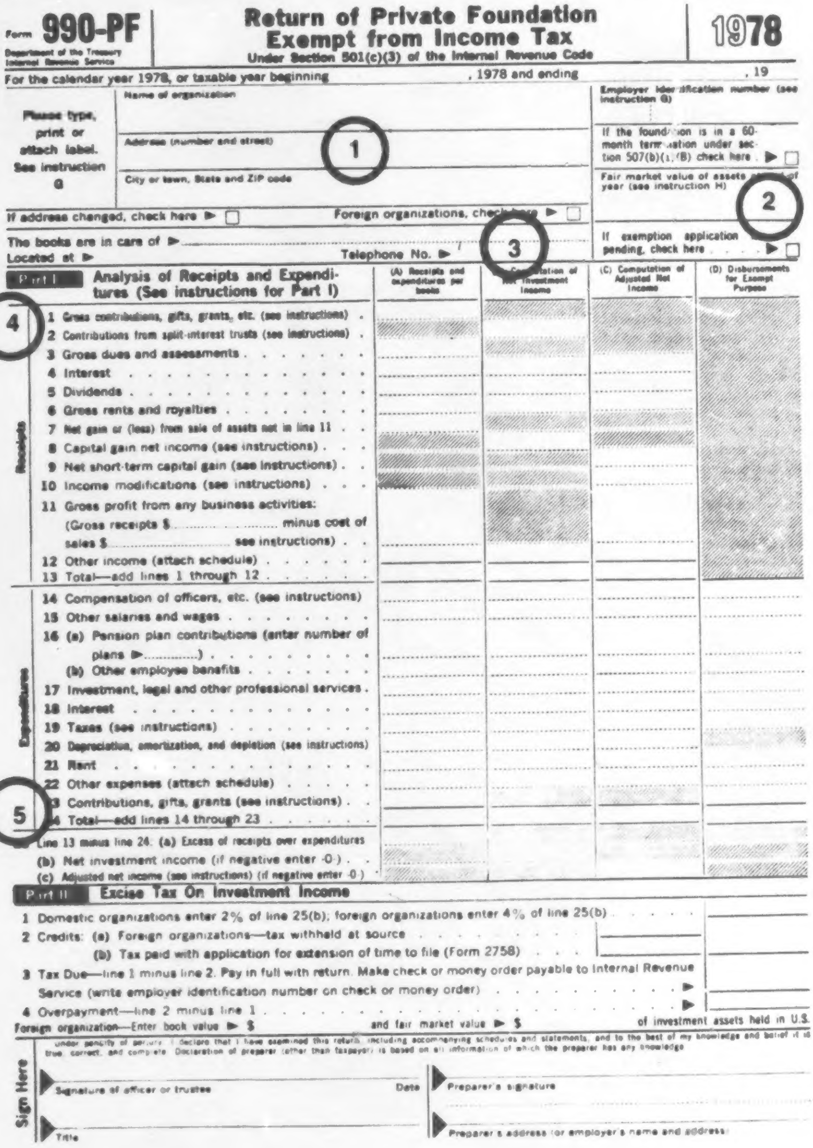
The cost for aperture cards is $1.00 for the first card and 13¢ for each additional card for each foundation. The charge for paper copies is $1.00 for the first page of each foundation's return and 10¢ per page thereafter. Aperture cards contain up to 15 pages each, while the paper copy charge is on a per page basis. Aperture cards are less expensive but are useful only if you have access to a microform reader which is necessary to view the information.

A bill will be submitted by IRS with the order when it is filled. Allow four to six weeks for processing and filling the order, depending on its size. To order aperture cards or paper photocopies of 990-AR and 990-PF forms from the IRS, address your request to the Mid-Atlantic Service Center, Internal Revenue Service Center, P.O. Box 245, Bensalem, PA 19020, Attn: Public Inspection, Drop Point 536.

What Information You'll Find on the IRS Returns. There are certain key pieces of information that you should always be able to find on a foundation's IRS return. Most of these details can be located quickly because they always appear in the same location on one or both of the forms. Listed below are the locations of the most commonly sought facts. Review the copies of the key pages of the return which are reproduced here. If you familiarize yourself with the returns before beginning your research, it will be easier to find the key facts quickly. In using IRS returns you'll often find situations where information is requested but inadequate space is provided for the response. Foundations then use separate sheets of paper or "schedules" to add this information to their returns. Gifts and contributions are often contained on attached schedules, as are assets, officers, and grants lists. The schedule of contributions should include the name of the donor, address, and amount contributed to the foundation. Names of donors in earlier years may appear on the second page of Form 990-AR. Figure 27 shows the current IRS return for private foundations. You will find the following key facts on the return:

1. Name and address of the foundation (990-AR, page 2 and 990-PF, page 1).
2. Assets at market value (990-PF, page). If this space is blank or if you wish more detailed information on the nature of the foundation's assets, see page 3 of the 990-AR form.
3. Telephone number (990-PF, page 1). This may not be the number of the foundation but that of an accountant or other fiscal agent, such as a

Figure 27 Key Facts Found on IRS Forms 990-AR and 990-PF



Form **990-PF**
Department of the Treasury
Internal Revenue Service

Return of Private Foundation
Exempt from Income Tax
Under Section 501(c)(3) of the Internal Revenue Code

1978

For the calendar year 1978, or taxable year beginning , 1978 and ending , 19

Please type, print or attach label. See instruction G

Name of organization

Address (number and street)

City or town, State and ZIP code

Employer identification number (see instruction G)

If the foundation is in a 60-month termination under section 507(b)(1)(B) check here ▶ ☐

Fair market value of assets at end of year (see instruction H)

If address changed, check here ▶ ☐ Foreign organizations, check here ▶ ☐

If exemption application pending, check here ▶ ☐

The books are in care of ▶

Located at ▶ Telephone No. ▶

Part I Analysis of Receipts and Expenditures (See instructions for Part I)

	(A) Receipts and expenditures per books	Computation of Net Investment Income	(C) Computation of Adjusted Net Income	(D) Disbursements for Exempt Purpose
Receipts				
1 Gross contributions, gifts, grants, etc. (see instructions)				
2 Contributions from split-interest trusts (see instructions)				
3 Gross dues and assessments				
4 Interest				
5 Dividends				
6 Gross rents and royalties				
7 Net gain or (loss) from sale of assets not in line 11				
8 Capital gain net income (see instructions)				
9 Net short-term capital gain (see instructions)				
10 Income modifications (see instructions)				
11 Gross profit from any business activities: (Gross receipts $ minus cost of sales $ see instructions)				
12 Other income (attach schedule)				
13 Total—add lines 1 through 12				
Expenditures				
14 Compensation of officers, etc. (see instructions)				
15 Other salaries and wages				
16 (a) Pension plan contributions (enter number of plans ▶)				
(b) Other employee benefits				
17 Investment, legal and other professional services				
18 Interest				
19 Taxes (see instructions)				
20 Depreciation, amortization, and depletion (see instructions)				
21 Rent				
22 Other expenses (attach schedule)				
3 Contributions, gifts, grants (see instructions)				
4 Total—add lines 14 through 23				
Line 13 minus line 24: (a) Excess of receipts over expenditures				
(b) Net investment income (if negative enter -0-)				
(c) Adjusted net income (see instructions) (if negative enter -0-)				

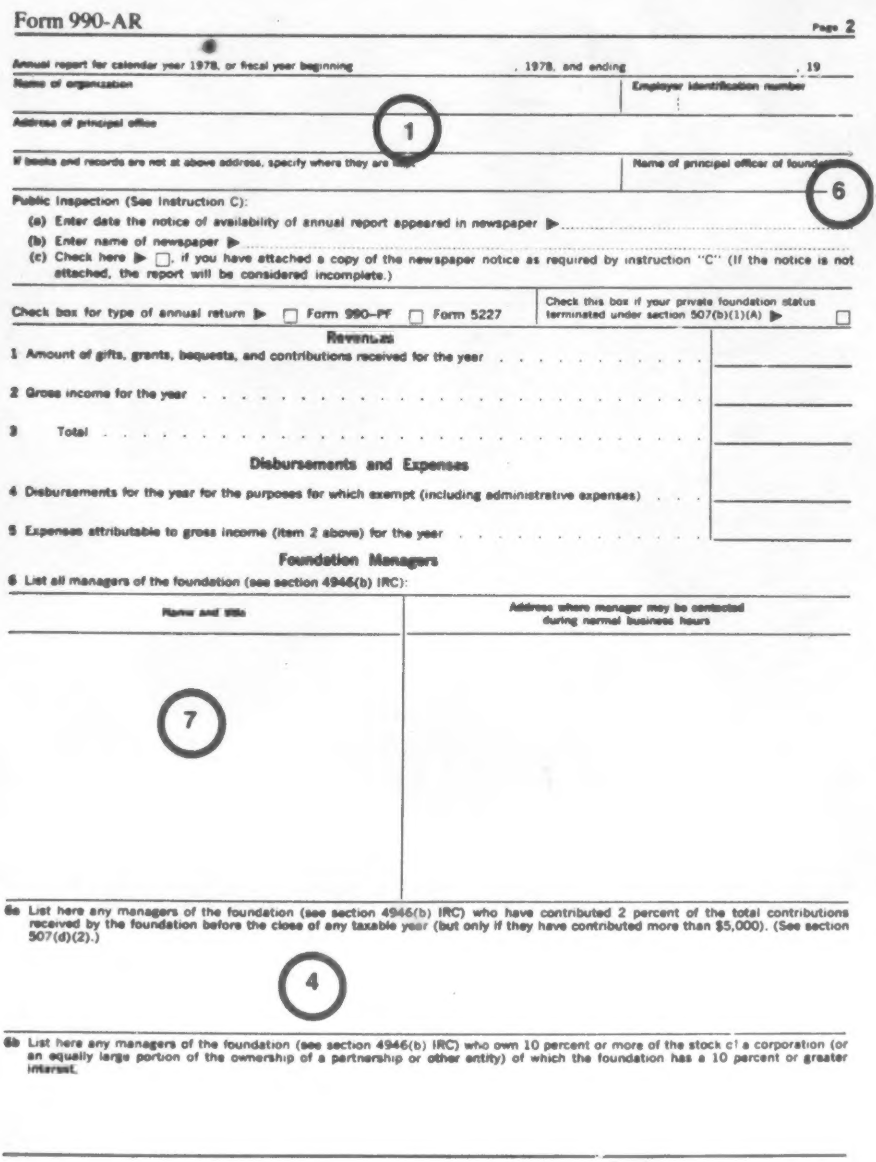
Part II Excise Tax On Investment Income

1 Domestic organizations enter 2% of line 25(b); foreign organizations enter 4% of line 25(b)
2 Credits: (a) Foreign organizations—tax withheld at source
(b) Tax paid with application for extension of time to file (Form 2758)
3 Tax Due—line 1 minus line 2. Pay in full with return. Make check or money order payable to Internal Revenue Service (write employer identification number on check or money order) ▶
4 Overpayment—line 2 minus line 1 ▶
Foreign organization—Enter book value ▶ $ and fair market value ▶ $ of investment assets held in U.S.

Sign Here

Under penalty of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which the preparer has any knowledge.

Signature of officer or trustee Date
Title
Preparer's signature
Preparer's address (or employer's name and address)



Form 990-AR Page 2

Annual report for calendar year 1978, or fiscal year beginning , 1978, and ending , 19

Name of organization | Employer identification number

Address of principal office ①

If books and records are not at above address, specify where they are kept | Name of principal officer of found ⑥

Public Inspection (See Instruction C):

(a) Enter date the notice of availability of annual report appeared in newspaper ▶ ....

(b) Enter name of newspaper ▶ ....

(c) Check here ▶ ☐, if you have attached a copy of the newspaper notice as required by instruction "C" (If the notice is not attached, the report will be considered incomplete.)

Check box for type of annual return ▶ ☐ Form 990-PF ☐ Form 5227 | Check this box if your private foundation status terminated under section 507(b)(1)(A) ▶ ☐

Revenues

1 Amount of gifts, grants, bequests, and contributions received for the year	
2 Gross income for the year	
3 Total	
Disbursements and Expenses	
4 Disbursements for the year for the purposes for which exempt (including administrative expenses)	
5 Expenses attributable to gross income (item 2 above) for the year	

Foundation Managers

6 List all managers of the foundation (see section 4946(b) IRC):

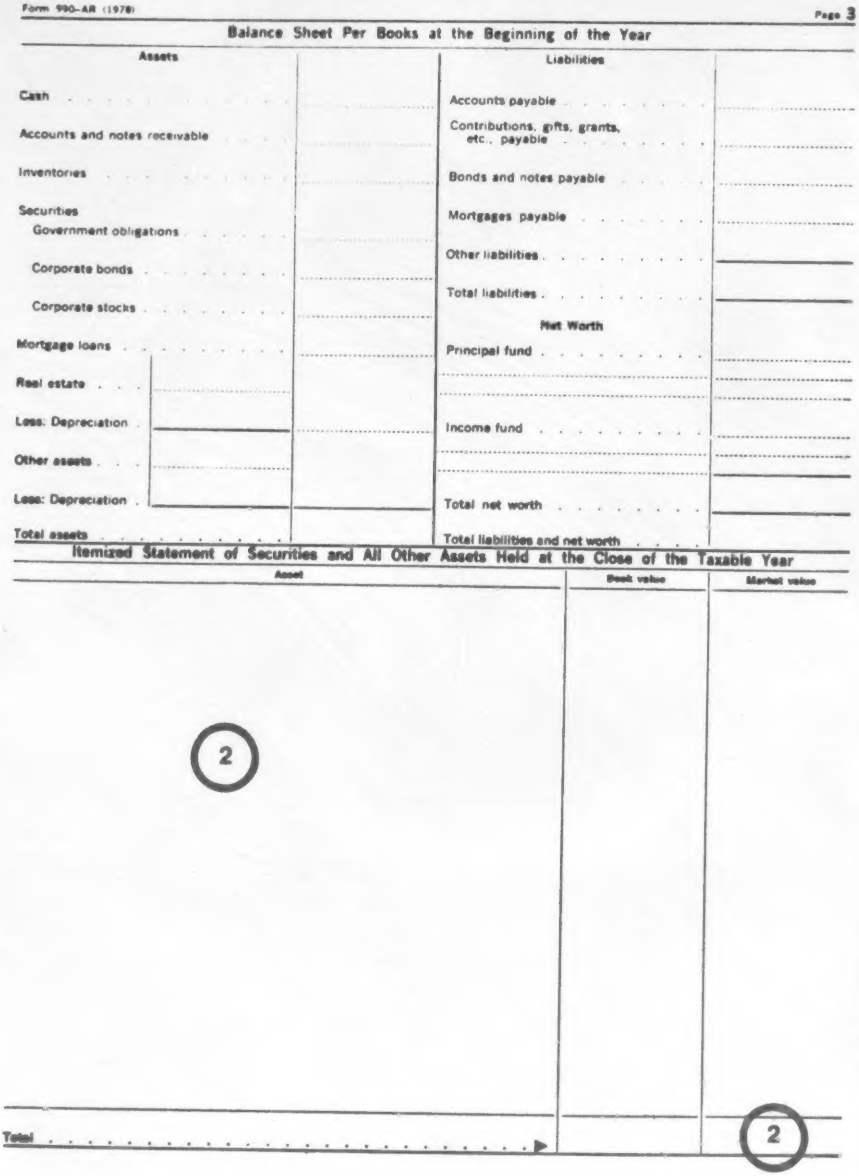
Name and title	Address where manager may be contacted during normal business hours
⑦	

6a List here any managers of the foundation (see section 4946(b) IRC) who have contributed 2 percent of the total contributions received by the foundation before the close of any taxable year (but only if they have contributed more than $5,000). (See section 507(d)(2).)

④

6b List here any managers of the foundation (see section 4946(b) IRC) who own 10 percent or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10 percent or greater interest.

Figure 27 *Continued*



Form 990-AR (1978) Page 3

Balance Sheet Per Books at the Beginning of the Year

Assets			Liabilities	
Cash			Accounts payable	
Accounts and notes receivable			Contributions, gifts, grants, etc., payable	
Inventories			Bonds and notes payable	
Securities			Mortgages payable	
Government obligations			Other liabilities	
Corporate bonds			Total liabilities	
Corporate stocks			**Net Worth**	
Mortgage loans			Principal fund	
Real estate				
Less: Depreciation			Income fund	
Other assets				
Less: Depreciation			Total net worth	
Total assets			Total liabilities and net worth	

Itemized Statement of Securities and All Other Assets Held at the Close of the Taxable Year

Asset	Book value	Market value
②		
Total ▶		②

Grants and Contributions Paid or Approved for Future Payment During the Year

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Concise statement of purpose of grant or contribution	Amount
Paid during year ⑤			
Total . . . . ▶			
Approved for future payment			
Total . . . . ▶			

A notice has been published that this Annual Report is available for public inspection at the principal offices of the foundation, and copies of this Annual Report have been furnished to the Attorney General (or his/her designate) of each State entitled to receive reports as required by instruction F.

▶ Signature of foundation manager Date

▶ Title

▶ Preparer's signature

▶ Preparer's address

Instructions

A. Annual Report.—An annual report is required from the foundation managers (as defined in section 4946(b)) of every organization which is a private foundation, including a nonexempt trust described in section 4947(a)(1) which is treated as a private foundation, having at least $5,000 of assets at any time during a taxable year. A private foundation may use this form for its annual reporting requirements.

If you prefer not to use this form, you may prepare the report in printed, typewritten or any other form you choose, provided it readily and legibly discloses the information required by section 6056 and the regulations thereunder.

The annual report is in addition to and not in lieu of submitting the information required on Form 990-PF under section 6033.

B. Where and When to File.—

(1) Tax-exempt private foundation.—File the report at the time and place specified for filing Form 990-PF, Return of Private Foundation Exempt from Income Tax.

(2) Nonexempt trust described in section 4947 (a)(1) and treated as a private foundation.—File the report at the time and place specified for filing Form 5227, Return of Nonexempt Charitable or Split-Interest Trust Treated as a Private Foundation under section 4947(a) of the Internal Revenue Code.

C. Public Inspection of Private Foundation's Annual Reports.—As a foundation manager, you must make the annual report required by section 6056 available at the principal office of the foundation for inspection during regular business hours by any citizen who so requests within 180 days after publication of notice of its availability; or, if you choose, you may furnish a copy free of charge to such persons requesting inspection, provided these persons do so at the time and manner prescribed in section 6104(d) and the regulations thereunder.

The notice must be published not later than the day prescribed for filing the annual report (determined with regard to any extensions of time for filing), in a newspaper having general circulation in the county in which the principal office of the private foundation is located. The notice must state that the annual report of the private foundation is available at its principal office during regular business hours for inspection by any citizen who so requests within 180 days after the date of the publication. It must also show the address of the private foundation's principal office and the name of its principal manager. A private foundation may designate in addition to its principal office, or (if the foundation has no principal office or none other than the residence of a substantial contributor or foundation manager) instead of such office, any other location where its annual report is available.

The term "newspaper having general circulation" shall include any newspaper or journal which is permitted to publish statements in satisfaction of State statutory requirements relating to transfer of title to real estate or other similar legal notices.

A copy of the notice must be attached to the annual report filed with the Internal Revenue Service. Because IRS also makes the annual report available for public inspection under section 6104(d), the report and any attachments should be of such quality that they can be reproduced photographically.

A private foundation which has terminated its status as such under section 507(b)(1)(A), by distributing all its net assets to one or more public charities without retaining any right, title or interest in such assets, does not have to publish notice of availability of its annual report or furnish such report to the public for the taxable year in which it so terminates (Reg. 1.507-2(a)(6)). Be sure to check box on page 2.

D. Signature and Verification.—The report must be signed by the foundation manager.

E. List of States.—A private foundation is required to attach to its Form 990-PF a list of all States:

(1) to which the organization reports in any fashion concerning its organization, assets, or activities, and

(2) with which the organization has registered (or which it has otherwise notified in any manner) that it intends to be, or is a charitable organization or that it is, or intends to be, a holder of property devoted to a charitable purpose.

F. Furnishing of Copies to State Officers; Listing of States.—If the organization has at least $5,000 in assets at any time during the year the foundation managers must furnish a copy of this annual report to the Attorney General (or his/her designate) of (1) each State listed for Form 990-PF above, (2) the State in which the principal office of the foundation is located, and (3) the State in which the foundation was incorporated or organized. Such report must be furnished at the same time it is sent to IRS. In addition, the foundation managers shall provide upon request a copy of the annual report to the Attorney General or other appropriate State officer of any other State. The foundation manager shall also attach to the report a copy of the Form 990-PF (or Form 5227 for a 4947(a)(1) trust) and a copy of the Form 4720 (if any) filed by the foundation with IRS for the year.

G. Penalty for Failure to File Report and Notice on Time.—If a private foundation fails to file the annual report on or before the due date, or to comply with the requirements under "C" above, there will be imposed on the person (anyone under a duty to perform the act), a $10 penalty for each day during which the failure continues, not to exceed $5,000. (See section 6652 (d)(3).)

The penalty of $10.00 a day for failure to file may also be charged if a report is submitted with information omitted. Therefore, please be sure to make an entry in each part of the form even the ones that do not apply to you. If a part or line item does not apply, enter "N/A" (not applicable). (See Rev. Rul. 77-162, 1977-1 C.B. 400 for details.) If more than one person is liable, all such persons shall be jointly and severally liable with respect to such failure.

Organizations that have given notice under section 508(b) as to their foundation status and have not received a letter from IRS containing a determination as to such status—refer to Rev. Proc. 72-31, 1972-1 C.B. 759, or later revisions for rules relating to relief from the penalty provision of section 6652. If the failure to file the annual report or comply with "C" is willful, there will be imposed, in addition to the amount mentioned above, a penalty of $1,000 for each such report or notice. (See section 6685.)

H. Foreign Organizations.—A foreign organization which has received substantially all of its support (other than gross investment income) from sources outside the United States will not be subject to the requirements of instructions C and F above.

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bank that maintains the books of the foundation. If the phone number listed is for the foundation or a foundation officer, you'll find most foundations prefer to receive requests for information or funding in writing.

4. Gross contributions, gifts, grants, etc. received (990-PF, page 1, line 1). If the foundation received any gifts during the year, a detailed listing of all donations of $5,000 or more must be supplied on a separate schedule.
5. Contributions, gifts, and grants paid (990-PF, page 1, line 23). If the number of grants is small, the list may appear on page 4 of form 990-AR. Frequently, however, you'll find the note, "see attached schedule." The IRS does not require a foundation to state its purposes, but you may be able to draw your own conclusions about them by examining the list of grants. Unfortunately, most grants lists contain only the name of the recipient and the amount of the grant.
6. Principal foundation officers (990-AR, top of page 2).
7. Officers and trustees, directors, or foundation managers (990-AR, page 2). Again, these lists are often given on an attached schedule.

Pamphlets, Newsletters, and News Releases Distributed by Foundations

Some foundations, probably no more than 150, publish leaflets that describe their program interests and give instructions on how to submit a proposal. Some foundations issue news releases or publish regular newsletters. These publications usually include recent grants made by the foundation but may also announce major program changes or new staff appointments, occasionally providing biographical details on new foundation officers and staff. To receive copies of foundation leaflets, you should write to the foundation and ask if such publications are available. If the foundation issues news releases or newsletters, you may be able to have your name placed on its mailing list. The Foundation Center libraries in New York and Washington, D.C. collect as many foundations' pamphlets and news releases as possible. During a visit to one of these libraries you may review and photocopy the pamphlets and releases. Regional libraries generally collect materials distributed by the foundations in their area.

Newspaper and Magazine Articles

From time to time you may have seen articles about local foundations in newspapers. You have probably observed that a few foundations are mentioned frequently, while most are never covered. The Foundation Center subscribes to a newspaper clipping service that checks hundreds of newspapers and periodicals throughout the country and forwards to the Center any articles dealing with foundations and philanthropy. The Center also maintains files of general articles on foundation activity and editorials dealing with the field.

Occasionally, national magazines print articles on individual foundations or on foundations in general. You'll find it much easier to keep abreast of magazine articles than of those that appear in newspapers. You can look up such articles using the major periodical indexes like the *Reader's Guide to Periodical Literature*, *Business Periodicals Index* or *Public Affairs Information Service* (PAIS), most of which should be available in a local library.

The Foundation Center's libraries obtain copies of relevant articles, studies and reports. You'll find that the files maintained by the Center libraries in New York, Washington, D.C., Cleveland, and San Francisco provide the most comprehensive collection of information available on particular foundations, as well as on philanthropy and foundation activity generally. Most visitors to the Center's libraries are searching for funding and concentrate on using the materials described in this guide. However, because the Center serves an archival function for the field, its libraries are also used by foundation personnel, journalists, researchers, authors, and students who are compiling information on foundations, grants, philanthropy, nonprofit management, and a variety of related subjects for articles, studies, books or reports. The Center encourages anyone engaged in research relating to philanthropy to consult with its library staff and to take advantage of its extensive collection.

Chapter 9

Presenting Your Idea to a Foundation

By now you have identified foundations whose giving histories point to a potential interest in your organization or project. You have researched each of these prospects thoroughly and narrowed your list to those whose interests and objectives are closest to your own. Now, how do you present your idea to those foundations and convince them to support it?

At this point a number of nonprofits feel they should turn to experts and have a professional proposal developed for them. Although this might make you feel more confident, it is rarely necessary. You and your colleagues can present your organization and its plans most persuasively because you understand best exactly what you are attempting to accomplish. Foundations aren't impressed by slick packages or fancy prose. They want the facts, presented clearly and concisely, and they want to get a feeling for the organization and its people.

Deciding what to include in a proposal may seem difficult at first. Private foundations, unlike other grantmaking agencies, generally don't require or make available application forms so you are free to present your idea in the format you feel works best. Nonetheless, most foundations do expect to find certain facts and figures in all proposals submitted to them.

Although most foundations are quite flexible about the form, content, and timing of proposal submissions, you should look for references to specific application procedures for the foundation you plan to approach when doing your research. For example, timing can be important. Board meetings may be held often or as infrequently as once or twice a year. Foundations usually request proposals at least two to three months in advance of these meetings to allow time for staff review and investigation. Often a considerably longer lead time is necessary. Try to learn the deadlines or board meeting dates for the foundations you plan to approach.

Some foundations tell you specifically what information they expect in your proposal. *The Foundation Directory* and *Source Book Profiles* include information about such requirements for the largest foundations. Annual reports often include application information, and some foundations make that kind of information available in separate brochures or fact sheets for applicants. Obtain a copy of any material distributed by a foundation in which you are interested. Review it for clues on their application preferences or criteria.

PREPARING YOUR PROPOSAL

Bearing in mind any specific directions a foundation has established for preparing a grant request, choose an approach for your proposal which best presents your project and your needs. While proposals can vary greatly, certain basic elements should generally be included:

1. *Cover letter* on the organization's letterhead signed by its chief executive officer.
2. *Table of Contents.*
3. *Summary of the proposal*, no longer than one page and including at a minimum the amount of money requested, the total project budget, the specific purpose of the grant, and the anticipated end result.
4. *Qualifications* of the organization and staff to carry out the program.
5. *Statement of the problem* or need addressed by the project.
6. *Goals and objectives of the program.*
7. *Methods* to be used to achieve the objectives, including a timetable for implementing specific steps.
8. *Evaluation criteria* by which the program's effect will be measured.
9. *Budget.*
10. *Future funding* sources and plans.
11. *Appendix* including evidence of tax-exempt status, supporting documents, references, etc.

What you decide to include in your proposal will depend on the nature of the activity to be funded. However, foundations have to review hundreds, and in some cases thousands, of proposals each year. There are certain things they want to know about each recipient and each program they consider funding. Making it easy for them to find the facts they need in your proposal will be to your advantage. The categories of information listed above have evolved as relatively standard elements of foundation proposals because they provide a logical structure in which to present the information requested most frequently by foundations. Within this format, each section generally includes certain facts and figures.

Cover Letter. A cover letter allows you to highlight the features of your proposal most likely to be of interest to a particular foundation. You should point out why you have selected the foundation and why you believe it will be interested in this proposal. It is perfectly acceptable to send copies of your proposal to more than one foundation so long as your research shows that each has demonstrated genuine interest in your field. Let each foundation know which other funding sources you are approaching. When submitting your proposal to several appropriate foundations, it is accepted practice to send photocopies of the proposal, but you should develop an original cover letter for each foundation.

Table of Contents. A table of contents makes it easy for foundation staff and trustees to look up particular facts or figures in your proposal. It organizes the presentation and outlines the information presented. Tables of contents are not licenses for length, however, and most foundations recommend keeping proposals to ten pages, if possible.

Summary. A convenient summary at the beginning of the proposal has several purposes. In addition to describing the essentials of the project and introducing your organization, it should get readers interested in the proposal. Be specific about what you want and why. Always include the amount of money requested. If you don't state clearly how much you require, you can't expect a funding agency to uncover the information buried in your budget.

The summary statement should answer the basic questions a foundation might have about your project. It can be incorporated into your cover letter or it may be presented as the first section of your proposal. It can be as short as one or two paragraphs and should never exceed one page in length. Although the summary appears first in the proposal, it should be the last thing you actually write. At that point you will have thought through and thoroughly documented the need, plan of action, and projected outcome of your proposed project and will be in the best position to condense the material to highlight the most important facts.

Qualifications. Recognize that you will have to introduce your organization to most foundations because they may not be aware of your existence. Provide enough background information to build confidence in your group and its activities. Include a summary of previous programs, stressing key accomplishments and describing your sources of support.

You can do the groundwork for this section by starting a "credibility file" which documents your progress and achievements. Save letters of endorsement and support, newspaper articles, resumes of individual staff members, and studies which support your work. Careful record keeping will help build a thorough and convincing chronicle of your work for submission with proposals. Soliciting letters of support from organizations that have or will benefit from your organization's work is perfectly acceptable.

In this section you can include background information on the qualifications and experience of individuals involved in the project. With a new organization particularly, you should focus on the people involved. You can also include information on staff members or professionals in the field who will act as consultants to the project. A summary of relevant data is sufficient for this section. Actual resumes of staff members or consultants should go in the appendix.

Problem Statement. The problem statement gives you a chance to focus on the needs you plan to meet. Be sure to narrow the problem to limits which are solvable within the scope of your proposed project. Although you will want to include enough background to provide a general understanding of your community, a broad picture of all the problems which exist there will detract from your presentation. Focus on the specific needs to be met by your project.

Clearly identify the population groups to be served by the project. Census data for your area can be helpful in establishing the size and nature of a community. Local government and service agencies and public libraries also provide good sources of geographic and demographic information. Document your perception of the problem with recent studies and current statistics, statements by public officials, other agencies or professionals, and previous studies by private or public groups.

Goals and Objectives. The goal is the ultimate accomplishment a program could achieve and, as such, is often unreachable. Objectives, on the other hand, are based on realistic expectations about the anticipated results of a project. In your proposal you will, of course, refer to your ultimate goals, but you should concentrate on describing the specific objectives you have set for the project. Attainment of these stated objectives will be a measurable step in the process of working towards your goal.

The objectives you outline should promise a solution or reduction of the problem you have described. Clearly stated objectives provide the basis for evaluating the program, so be sure to make them measurable and time-limited. Don't confuse the objective of a program with the means to be used in achieving that end. For example, establishing an employment counseling and information center for the physically handicapped is a method, not an objective. If the problem is that many of the handicapped in your area are unaware of the resources available to them in looking for jobs, the *objective* might state that you intend to increase the number of handicapped in your county utilizing community resources for the unemployed by 25 percent in two years. The *goal* of the program would be the reduction or elimination of unemployment among trainable handicapped citizens in the county.

Methods. The methods you plan to use to bring about your stated goals should be fully described. Be specific and provide enough background to make it clear that you are knowledgeable about what's happening currently in the field. Why have you chosen your particular approach? How does it differ from others? Be sure you aren't duplicating previous efforts or reinventing the wheel.

Anticipate the questions a reviewer might have concerning your approach to the problem. If there are problems or questions that you are afraid will come up, chances are good that they will. Respond to those concerns before they are expressed by the foundation. You should include a timetable for the various stages of the project, and be sure to specify the most desirable commencement and termination dates for a grant.

Evaluation. At the end of the funding period you should plan to evaluate and analyze how well you accomplished what you set out to do. Evaluation criteria provide a measure for judging how effective your project has been in reaching your objectives. Clearly stated evaluation criteria can also be useful during the life of the program to signal the need for necessary adaptations. If your objectives are specific and measurable, it will be easier to develop effective project evaluation criteria. Though evaluating the outcome or product resulting from the project is a primary concern, don't overlook the need to evaluate the process or procedures employed. Evaluation methodology is an important component in measuring a project.

Budget. Developing the budget you submit with your grant request requires honesty and common sense. It must be sufficiently detailed to demonstrate that you have considered the full range of needs and problems which may arise. For example, if your proposal involves hiring staff, don't forget that social security payments, workmen's compensation, and benefits all have to be included. It is unrealistic to expect additional funding to meet needs overlooked in your initial request.

Foundation and corporate donors are experienced in evaluating costs. Don't pad your budget, but don't underestimate the amount you need. If other funding sources will be contributing to your program, say so. The fact that others have confidence in your organization is a plus. If you expect to receive donations of equipment, space or volunteer time, be sure to mention these as well.

When you are seeking funds for a special project, you should supply two types of budget information: a budget for the project and the operating budget of the organization. There are certain areas which should be covered in most project budgets. If your project provides a service, the largest section of your budget may be expenses for personnel, including salaries and fringe benefits. Other outside services, such as legal, accounting, or consultant work, may be an important budget item. Rent, utilities, equipment, and supplies are basic expenses to include. If you are including expenses for travel and meetings, spell out exactly how the money will be spent. Other costs may include publicity, insurance, postage, publications, and subscriptions. Budgets created prior to the operation of a program obviously cannot anticipate every expense. You will need to make estimates in many areas, but be sure to provide enough detail to indicate clearly how the requested funds will be spent.

A foundation will also want to review the funding and expenditures of the organization as a whole. You should include a copy of your most recent audited financial statement, an accounting of your current sources of funding, and an operating budget for the current year.

Future Funding. The final section of your proposal should describe how you plan to finance the program at the conclusion of the grant. This is an important consideration because foundations want some assurance that the service or program, once funded, will be able to survive. Even with some requests for one-time support, such as the purchase of equipment, you should describe how you will handle related expenditures, such as maintenance costs, in the future.

With ongoing projects you'll find it is not adequate to refer vaguely to a search for alternative funding sources. Foundations want evidence of specific plans. The best plan is one which does not depend on outside grant support. You should consider the project's ability to become self-supporting. If this isn't feasible, then you will have to take a hard look at alternatives, like organizing a campaign to solicit funds from the public or finding a local institution or government agency which will agree to support the program once it has demonstrated its value.

Appendix. The appendix of your proposal allows you to include additional information without interrupting the narrative. The appendix should include proof of tax-exempt status, letters of endorsement, publications by or about your organization, news clippings and other publicity, and resumes of staff members.

A WORD OF ADVICE

Make your entire proposal as readable as possible by using active language, and by being clear and specific about what is to be accomplished. Find the person in your organization with the best writing skills. Committee writing usually doesn't work when you need a concise and organized final product. Use the group approach to generate ideas and concepts, but let one writer develop a proposal draft. Then return to the group for review and rewriting.

To gauge the potential reactions of foundation staff and trustees, you may wish to ask people who have been successful in securing foundation grants to review the proposal. Other professionals in your field often can help you to refine your expense estimates. You can also have persons unfamiliar with your project review the proposal to be certain it is clear and avoids any specialized jargon.

Grantseekers sometimes ask if they should tailor proposals to individual foundations. When you have identified foundations with an established interest in projects like yours and a record of making grants in the appropriate size range, you can and should point out the connections you see between your project and the foundation's interests. But it is generally not a good idea to make major adjustments in your proposal or your operation to conform to the interests of a particular funding source. Organizations can be all too easily sidetracked from their own basic program goals by developing projects in direct response to the availability of funds. These projects or services often turn out to be in areas of peripheral relevance to the organization and in which their experience and expertise may be correspondingly less developed.

WHAT HAPPENS NEXT?

Once a proposal is submitted, what response should you expect? It will vary from foundation to foundation. Many staffed foundations prefer to receive a preliminary letter outlining a need or a project idea so that they can indicate whether or not they are interested at an early point and whether they would like to discuss the idea further or see a full proposal. Even after they receive a proposal, staffed foundations may require more information, an interview, or revision in your plans before submitting the proposal to the board.

Contact with staff is helpful even if your proposal is not funded. You may be able to improve future chances of funding by discussing the reasons for a negative response. They may also be helpful in discussing other potential funding sources or advising you as to whether you might consider applying to them again in the future.

A smaller, unstaffed foundation will probably expect to receive a full proposal at the outset and will be less interested in receiving and having to respond to preliminary inquiries. They are likely to consider a proposal at the board meeting following its receipt and communicate their decision to the applicant after that meeting. You should try to learn when the foundation's board has scheduled its next meeting and expect to hear after that time.

RESEARCH CHECKLIST

Directing a proposal only to the most appropriate foundations is a grantseeker's first responsibility. Be sure you can explain exactly why you've selected every foundation you plan to approach and document in your presentation those areas you believe to be of mutual interest. The outline below reviews the steps you should follow before making a decision to approach any foundation for funding.

Section A—What Are You Looking For?

First and foremost give some thought to your program. It is extremely helpful in funding research to have all relevant aspects of the program clearly in focus. Then plan an effective research strategy based on a realistic appraisal of the type of foundations that are most likely to be interested in your project.

1. **What is the major subject concern of your organization?**

   ____

   ____

2. **What additional subject areas are you involved in?**

   ____

   ____

3. **What is the main subject focus of this particular proposal?**

   ____

   ____

4. **What related subjects does the proposal deal with?**

   ____

   ____

5. **What population groups are served by your organization?**

   ____

   ____

6. **What population groups will benefit from this proposed project?**

   ____

   ____

7. **What type of support are you seeking (i.e., general purpose, building funds, etc.)?**

   ____

   ____

8. What geographic area will be served by the project?

____

____

9. Will the project have any impact beyond the community where it will be operated?

____

____

10. How much money will the project cost in total?

____

____

Section B—Have You Done Your Homework?

Next, review the list of reference sources appropriate to the types of foundations you plan to research and check each one which seems pertinent. When you have a list of foundations likely to be interested in your project, complete the Prospect Worksheet. It summarizes the key facts needed to see how closely your proposal matches the interests of the foundations you've identified. You may end up with two foundations on your final list or twenty-two—the number will vary according to the nature of the proposal. Just be sure you only apply to foundations with giving priorities closely related to your request.

1. *Subject Research*

   a. Are you looking for a fairly large foundation that generally makes grant decisions on the basis of subject priorities?

   yes ☐ no ☐

   b. If yes, have you checked:

   Grants' Indexes

   ☐ *COMSEARCH Printouts: Subjects*
   ☐ *Foundation Grants Index* Annual
   ☐ *Foundation Grants Index* Bimonthly in *Foundation News*

   Directories of Foundations

   ☐ *Source Book Profiles* Index of Subjects
   ☐ *Source Book Profiles* Index of Types of Support
   ☐ *Foundation Directory* Index of Fields of Interest
   ☐ State or Area Foundation Directories
   ☐ Other foundation directories—
   list all consulted sources in order of usefulness

   ____
   ____
   ____
   ____
   ____

   ☐ Special topical funding directories—
   list all consulted sources in order of usefulness

   ____
   ____
   ____
   ____
   ____

2. *Geographic Research*

a. Are you looking for foundations in your city, state or region that might be interested in your organization?

yes ☐ no ☐

b. If yes, have you checked?

☐ State or local foundation directories in your area
☐ *National Data Book* listing of foundations by size by state
☐ *Source Book Profiles* Geographic Index
☐ *Foundation Directory* Index of Foundations by State and City
☐ *Foundation Directory* section on your state
☐ *COMSEARCH Printouts: Geographic*
☐ *Foundation Grants Index* Subject Index with state subarrangement

3. *Prospect Research*

a. Have you checked each of your foundation prospects in all available resources, including:

☐ Foundation Annual Report or information brochure
☐ Foundation Newsletter
☐ Newspaper or Periodical articles
☐ *Source Book Profile* entry
☐ *Foundation Directory* entry
☐ Entries in other general foundation directories—
list all consulted sources in order of usefulness

____

____

____

____

____

☐ Foundation Center *National Data Book* entry
☐ IRS return (forms 990-AR and 990-PF).
List years of consulted returns

____

____

____

Foundation Prospect Worksheet: How Well Do Your Needs Match Their Interests?

	Your Organization	Foundation
1. Name:		
2. Subject focus: **(list in order of importance)**	1. 2. 3. 4. 5.	1. 2. 3. 4. 5.
3. Geographic focus: **(your location v. their traditional giving areas)**		
4. Amount of grant: **(your need v. their ranges)**		*range in subject category*
5. Type of support: **(your need v. their priorities)**		*will give* *won't give*
6. Type of recipient: **(your organization type v. their traditional recipients)**		
7. Start-up date	*need by:*	*board meetings or deadlines:*
8. Length of funding **(your need v. their traditional period of commitment)**		

Section C—Are You Prepared to Submit a Proposal?

Finally, before submitting a grant request, review the proposal checklist to be sure you have included all of the important facts and figures the foundation will be looking for. Then the really hard part of grantsmanship begins—waiting to hear what decision was made on your request.

1. Does your organization have nonprofit status? ______
2. Have you included evidence of such in your presentation? ______
3. Have you prepared an original cover letter tailored to each prospect?
   ______
   ______
4. Is your proposal of reasonable length (generally under 10 pages)?
   ______
5. Does your proposal include:
   - a. Audited Financial Statement for the Organization _
   - b. Project Budget ______
   - c. Summary of the Proposal Limited to One Page ______
   - d. Outline of the Problem ______
   - e. Description of the Objectives of Your Proposal ______
   - f. Description of the Methodology to be Used ______
   - g. Staff Qualifications ______
   - h. Statement of the Criteria to be Used to Evaluate the Project at its Conclusion ______
   - i. Plans for Future Funding ______
6. Have you identified all appropriate application deadlines and are you submitting your proposal far enough in advance to give it a fair hearing? ______

______

______

______

______

______

______

______

Appendix A

Sample Subject Search

The subject search concentrates on the larger foundations because detailed information on giving interests and grants is usually only available for this group. The subject search can be used effectively by smaller organizations to develop an awareness of the foundations and recipient organizations which are active in their field, but it is best utilized by nonprofits with a proposal for:

- a project of regional, national or international scope.
- a regional, national or international organization.
- a model or prototype project which may be replicable.
- a sizeable grant amount (over $5,000).
- a program dealing with a subject of current interest or relevance.
- a project with high visibility.
- a project with the potential for making a significant contribution in a particular field.

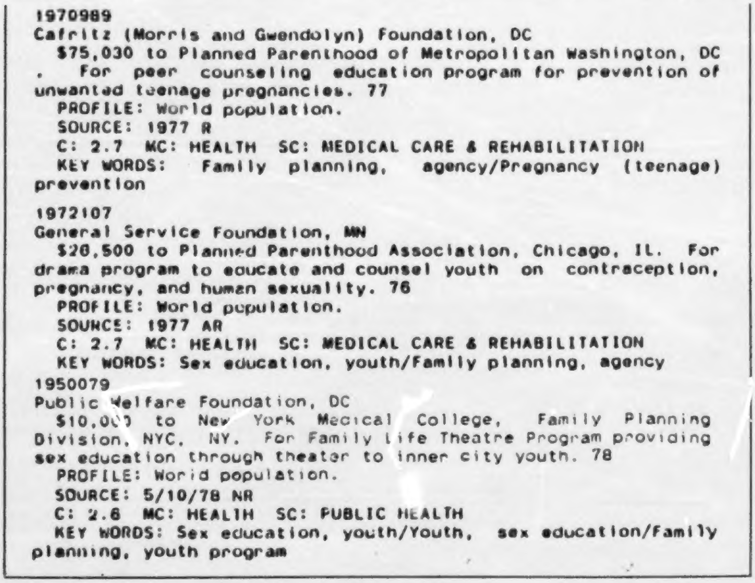
The sources of information used in subject research are described fully in Chapter 6. The following example shows how those reference materials can be used to develop a list of prospects and illustrates the most common sequence of research.

We are representing a mythical nonprofit organization, Youth Services Association of Philadelphia, which is looking for about $30,000 to produce and distribute a documentary film on teenage pregnancy and its consequences. The film will be aimed at low income, urban, minority teenagers. Where do we start?

Step One: COMSEARCH Printouts: Subjects.

In reviewing the COMSEARCH categories, we find a number of subjects which seem to be related to our project. The most promising category is probably *Family Services & Population Studies*. A quick review of that printout turns up a number of prospects. The grants which seem to be similar to our proposed project are shown in Figure 28.

Figure 28 Sample Entries from *COMSEARCH Printouts: Subjects*, Family Services and Population Studies



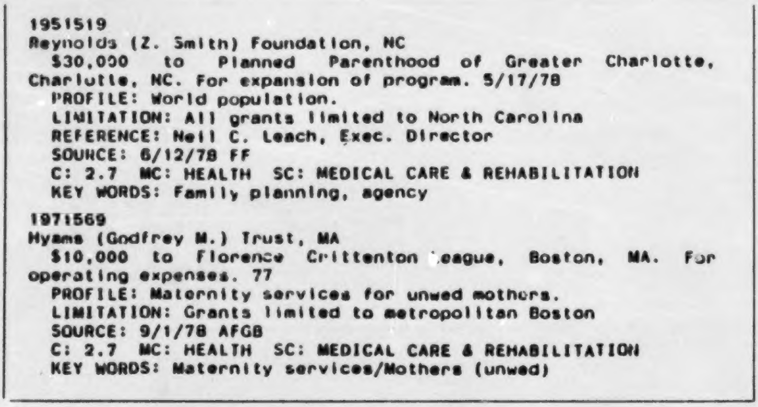
```
1970989
Cafritz (Morris and Gwendolyn) Foundation, DC
  $75,030 to Planned Parenthood of Metropolitan Washington, DC
.  For  peer  counseling  education program for prevention of
unwanted teenage pregnancies. 77
  PROFILE: World population.
  SOURCE: 1977 R
  C: 2.7  MC: HEALTH  SC: MEDICAL CARE & REHABILITATION
  KEY WORDS:  Family  planning,  agency/Pregnancy  (teenage)
prevention

1972107
General Service Foundation, MN
  $28,500 to Planned Parenthood Association, Chicago, IL.  For
drama program to educate and counsel youth  on  contraception,
pregnancy, and human sexuality. 76
  PROFILE: World population.
  SOURCE: 1977 AR
  C: 2.7  MC: HEALTH  SC: MEDICAL CARE & REHABILITATION
  KEY WORDS: Sex education, youth/Family planning, agency
1950079
Public Welfare Foundation, DC
  $10,000  to  New  York  Medical  College,  Family  Planning
Division, NYC,  NY.  For Family Life Theatre Program providing
sex education through theater to inner city youth. 78
  PROFILE: World population.
  SOURCE: 5/10/78 NR
  C: 2.6  MC: HEALTH  SC: PUBLIC HEALTH
  KEY WORDS: Sex education, youth/Youth,  sex education/Family
planning, youth program
```

The foundations which made these grants seem to have an interest in sex education, and the grants were also in urban areas. The second and third grants were awarded to organizations outside the foundation's home state. a good sign for our organization which is also located outside. These foundations are worth exploring further, so we note their names and continue through the printout scanning for other foundations with similar interests.

We will eliminate most of the foundations listed for reasons such as the limitations indicated in Figure 29. These entries note specific geographic limitations on the foundations' giving. Even if no direct limitation statement is included, be alert to foundations that give to local branches of national organizations such as Planned Parenthood, the Girl Scouts, United Jewish Appeal, etc., because you generally cannot translate that grant into any broader interest in the subject field outside the foundation's own geographic area.

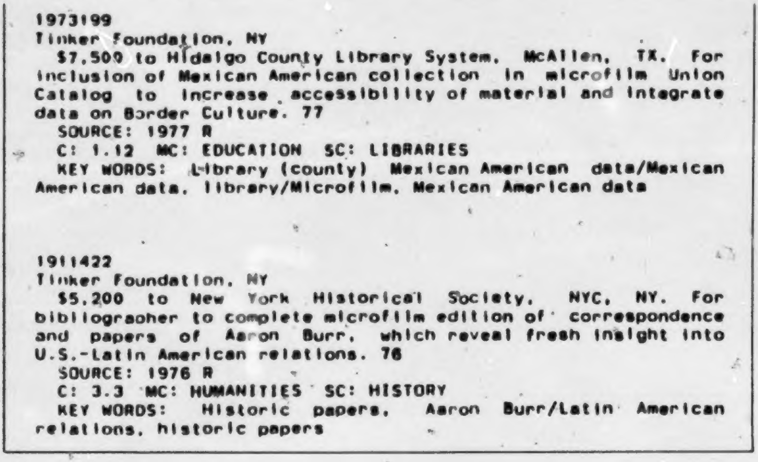
Figure 29 Sample Entries from *COMSEARCH Printouts: Subjects*, Family Services and Population Studies



```
1951519
Reynolds (Z. Smith) Foundation, NC
  $30,000   to   Planned   Parenthood  of  Greater  Charlotte,
Charlutte, NC. For expansion of program. 5/17/78
  PROFILE: World population.
  LIMITATION: All grants limited to North Carolina
  REFERENCE: Neil C. Leach, Exec. Director
  SOURCE: 6/12/78 FF
  C: 2.7  MC: HEALTH  SC: MEDICAL CARE & REHABILITATION
  KEY WORDS: Family planning, agency
1971569
Hyams (Godfrey M.) Trust, MA
  $10,000  to  Florence  Crittenton League,  Boston,  MA.  For
operating expenses. 77
  PROFILE: Maternity services for unwed mothers.
  LIMITATION: Grants limited to metropolitan Boston
  SOURCE: 9/1/78 AFGB
  C: 2.7  MC: HEALTH  SC: MEDICAL CARE & REHABILITATION
  KEY WORDS: Maternity services/Mothers (unwed)
```

After reviewing this primary COMSEARCH category, we'll check related categories for additional names. The COMSEARCH Printouts for Women, Minorities, Social Agencies, and Youth Programs should be checked. All three of the communications categories might lead us to foundations which are likely to have an interest in media presentations, even though this interest will generally be secondary to their subject interests. For example, the grant records of the Tinker Foundation from the *Films, Documentaries, Media and Audiovisuals COMSEARCH* (Figure 30) indicate more of an interest in Central and South America than in the film format.

Figure 30 Sample Entries from *COMSEARCH Printouts: Subjects*, Films, Documentaries, Media and Audiovisuals

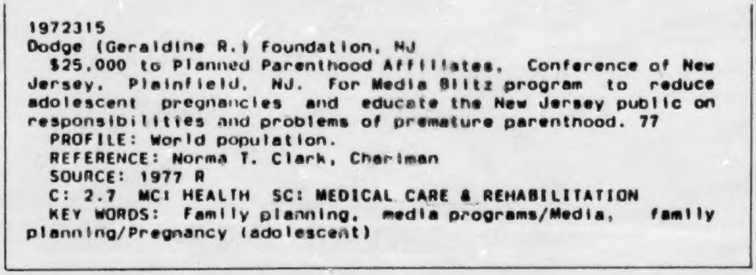


```
1973199
Tinker Foundation, NY
  $7,500 to Hidalgo County Library System,  McAllen,  TX.  For
inclusion of Mexican American collection  in  microfilm  Union
Catalog  to  increase  accessibility of material and integrate
data on Border Culture. 77
  SOURCE: 1977 R
  C: 1.12  MC: EDUCATION  SC: LIBRARIES
  KEY WORDS:  Library (county)  Mexican American  data/Mexican
American data, library/Microfilm, Mexican American data


1911422
Tinker Foundation, NY
  $5,200  to  New  York  Historical  Society,  NYC,  NY.  For
bibliographer to complete microfilm edition of  correspondence
and  papers  of  Aaron  Burr,  which reveal fresh insight into
U.S.-Latin American relations. 76
  SOURCE: 1976 R
  C: 3.3  MC: HUMANITIES  SC: HISTORY
  KEY WORDS:   Historic  papers,  Aaron  Burr/Latin  American
relations, historic papers
```

Yet the *Films and Documentaries COMSEARCH* does turn up some grants, like that in Figure 31, which add new prospects to our list for further consideration. This grant went to a local affiliate of a national organization and such grants, as we've already noted, are not necessarily indicative of a significant interest in the subject focus of the organization. However, it is a large grant which often means the foundation has an interest beyond a traditional annual giving commitment to a local organization so it will be worthwhile to do a little further research on the Geraldine Rockefeller Dodge Foundation.

Figure 31 Sample Entry from *COMSEARCH Printouts: Subjects*, Films, Documentaries, Media and Audiovisuals



```
1972315
Dodge (Geraldine R.) Foundation, NJ
  $25,000 to Planned Parenthood Affiliates,  Conference of New
Jersey,  Plainfield,  NJ.  For Media Blitz program  to  reduce
adolescent  pregnancies  and  educate the New Jersey public on
responsibilities and problems of premature parenthood. 77
  PROFILE: World population.
  REFERENCE: Norma T. Clark, Chairman
  SOURCE: 1977 R
  C: 2.7  MC: HEALTH  SC: MEDICAL CARE & REHABILITATION
  KEY WORDS:  Family planning,  media programs/Media,   family
planning/Pregnancy (adolescent)
```

Step Two: Foundation Grants Index Annual.

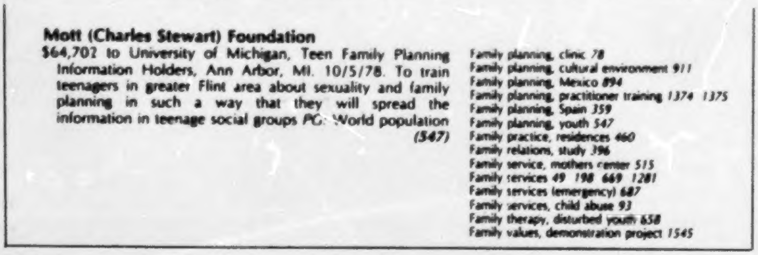
Because there are so many COMSEARCH categories related to this project, the subject indexes in the annual *Grants Index* will probably not turn up any new names. However, to be sure we're not overlooking anything, we should check the grants listed for the foundations in Pennsylvania, adding the names of any that might bear further research even if they haven't made grants in the family planning or communications areas previously. We should also check the recipients index to see if any other foundations are supporting groups we've identified as active in the field.

Step Three: Foundation Grants Index Bimonthly.

To update the information we got from COMSEARCH, we should check all of the current year's issues of *Foundation News*. You'll notice that at the end of each grant listed in COMSEARCH, there is a series of "Key Words." These are the terms under which the Center indexed that grant. As you review the relevant grant records in COMSEARCH, note which terms recur and use them to look up additional grant records in the bimonthly Grants Indexes. Among the terms which turned up frequently in the COMSEARCH we reviewed in this search were Media, Family Planning, Pregnancy, Health, Medical Care, and Sex Education. Checking under these terms in the key words and phrases index of one issue of the *News* might turn up something such as those shown in Figures 32 and 33.

The term "pregnancy" refers us to subject-related grants, but they were made by a foundation whose other grants all went to recipients in the Washington, D.C. area, where the foundation is located. The "Family Planning" citation gives us a lead worth checking further.

Figure 32 *Foundation Grants Index Bimonthly*, Sample Foundation Listing and Corresponding Index Entry

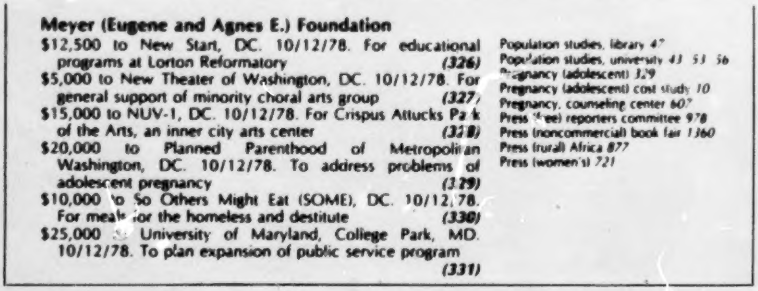


Mott (Charles Stewart) Foundation

$64,702 to University of Michigan, Teen Family Planning Information Holders, Ann Arbor, MI. 10/5/78. To train teenagers in greater Flint area about sexuality and family planning in such a way that they will spread the information in teenage social groups *PG:* World population *(547)*

Family planning, clinic *78*
Family planning, cultural environment *911*
Family planning, Mexico *894*
Family planning, practitioner training *1374 1375*
Family planning, Spain *359*
Family planning, youth *547*
Family practice, residences *460*
Family relations, study *396*
Family service, mothers center *515*
Family services *49 198 669 1281*
Family services (emergency) *687*
Family services, child abuse *93*
Family therapy, disturbed youth *658*
Family values, demonstration project *1545*

Figure 33 *Foundation Grants Index Bimonthly*, Sample Foundation Listing and Corresponding Index Entry



Meyer (Eugene and Agnes E.) Foundation

$12,500 to New Start, DC. 10/12/78. For educational programs at Lorton Reformatory *(326)*
$5,000 to New Theater of Washington, DC. 10/12/78. For general support of minority choral arts group *(327)*
$15,000 to NUV-1, DC. 10/12/78. For Crispus Attucks Park of the Arts, an inner city arts center *(328)*
$20,000 to Planned Parenthood of Metropolitan Washington, DC. 10/12/78. To address problems of adolescent pregnancy *(329)*
$10,000 to So Others Might Eat (SOME), DC. 10/12/78. For meals for the homeless and destitute *(330)*
$25,000 to University of Maryland, College Park, MD. 10/12/78. To plan expansion of public service program *(331)*

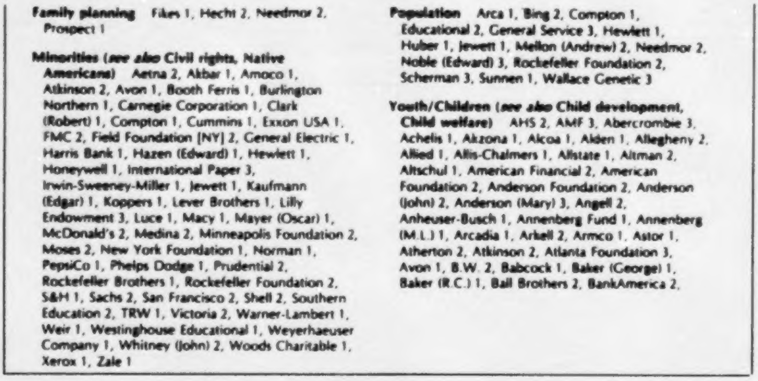
Population studies, library *47*
Population studies, university *43 53 56*
Pregnancy (adolescent) *329*
Pregnancy (adolescent) cost study *10*
Pregnancy, counseling center *607*
Press (free) reporters committee *978*
Press (noncommercial) book fair *1360*
Press (rural) Africa *877*
Press (women's) *721*

In reviewing each issue of *Foundation News*, we should also check the recipient index quickly under the names of nonprofits active in this field, including the names of recipients we've uncovered thus far in our research to see if they've received grants from other foundations.

Step Four: Source Book Profiles.

Now we move to the broader terminology of the foundation directories. In *Source Book Profiles* we'll review the Index of Subjects under all related headings. Because actual foundation names are listed in the indexes, it will be easy to know if a foundation cited is already on our list or if we need to refer to actual entries to verify a foundation's involvement in the field. Some of the subject categories we would check are: Family Planning, Health, Minorities, Population, and Youth. Because the broader categories (i.e., Health, Youth) include so many foundations, it's more efficient to check the more specific terms first.

Figure 34 *Source Book Profiles*, Index of Subjects



Family planning Fikes 1, Hecht 2, Needmor 2, Prospect 1

Minorities (*see also* Civil rights, Native Americans) Aetna 2, Akbar 1, Amoco 1, Atkinson 2, Avon 1, Booth Ferris 1, Burlington Northern 1, Carnegie Corporation 1, Clark (Robert) 1, Compton 1, Cummins 1, Exxon USA 1, FMC 2, Field Foundation [NY] 2, General Electric 1, Harris Bank 1, Hazen (Edward) 1, Hewlett 1, Honeywell 1, International Paper 3, Irwin-Sweeney-Miller 1, Jewett 1, Kaufmann (Edgar) 1, Koppers 1, Lever Brothers 1, Lilly Endowment 3, Luce 1, Macy 1, Mayer (Oscar) 1, McDonald's 2, Medina 2, Minneapolis Foundation 2, Moses 2, New York Foundation 1, Norman 1, PepsiCo 1, Phelps Dodge 1, Prudential 2, Rockefeller Brothers 1, Rockefeller Foundation 2, S&H 1, Sachs 2, San Francisco 2, Shell 2, Southern Education 2, TRW 1, Victoria 2, Warner-Lambert 1, Weir 1, Westinghouse Educational 1, Weyerhaeuser Company 1, Whitney (John) 2, Woods Charitable 1, Xerox 1, Zale 1

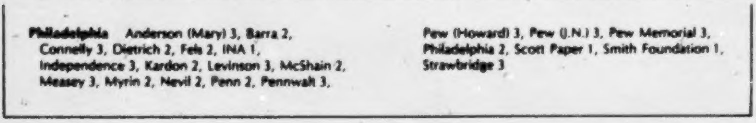
Population Arca 1, Bing 2, Compton 1, Educational 2, General Service 3, Hewlett 1, Huber 1, Jewett 1, Mellon (Andrew) 2, Needmor 2, Noble (Edward) 3, Rockefeller Foundation 2, Scherman 3, Sunnen 1, Wallace Genetic 3

Youth/Children (*see also* Child development, Child welfare) AHS 2, AMF 3, Abercrombie 3, Achelis 1, Akzona 1, Alcoa 1, Alden 1, Allegheny 2, Allied 1, Allis-Chalmers 1, Allstate 1, Altman 2, Altschul 1, American Financial 2, American Foundation 2, Anderson Foundation 2, Anderson (John) 2, Anderson (Mary) 3, Angell 2, Anheuser-Busch 1, Annenberg Fund 1, Annenberg (M.L.) 1, Arcadia 1, Arkell 2, Armco 1, Astor 1, Atherton 2, Atkinson 2, Atlanta Foundation 3, Avon 1, B.W. 2, Babcock 1, Baker (George) 1, Baker (R.C.) 1, Ball Brothers 2, BankAmerica 2,

The Index to Types of Support is really not very helpful in this search. The only media-related category is Publications. We can check under the term "Special Projects," which includes any type of specific program funded by foundations, but it's a very big category and most foundations will be listed there. In fact, larger foundations generally prefer to fund specific projects.

The Types of Support Index is generally most useful in a negative research sense. For example, if you are seeking continuing support or building funds and the foundations on your prospect list are not listed under those categories, you'd better check their profiles very carefully before you submit a proposal because most likely they do not make those types of grants. You should also always review the "applications not invited" listing to be sure none of the foundations on your prospects list is included there.

Figure 35 *Source Book Profiles*, Geographic Index



Philadelphia Anderson (Mary) 3, Barra 2, Connelly 3, Dietrich 2, Fels 2, INA 1, Independence 3, Kardon 2, Levinson 3, McShain 2, Measey 3, Myrin 2, Nevil 2, Penn 2, Pennwalt 3, Pew (Howard) 3, Pew (J.N.) 3, Pew Memorial 3, Philadelphia 2, Scott Paper 1, Smith Foundation 1, Strawbridge 3

We should also check the Geographic Index (Figure 35) to be sure we've noted all appropriate Philadelphia foundations. This means turning to the profile for each foundation identified by the Index as being located in Philadelphia and checking for any evidence of an interest in films, family planning, or programs aimed at urban areas or minority teenagers.

Step Five: The Foundation Directory.

Using the Index of Fields of Interest, we again find actual foundation names listed so we'll only have to look up foundations we haven't encountered thus far. In reviewing the subject categories, we find Health, Family, Population Control, and Youth most immediately promising. As in *The Foundation Grants Index*, the reference number listed after the foundation name is the entry number, *not* the page number.

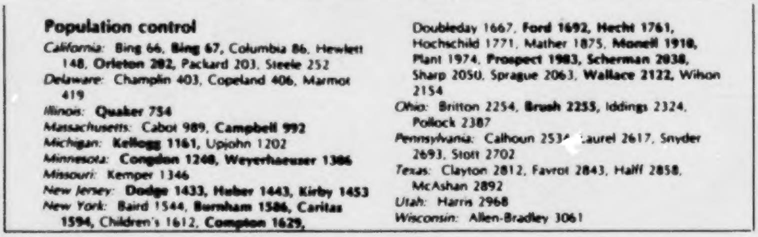


Figure 36 *Foundation Directory*, Index of Fields of Interest

Population control

California: Bing 66, **Bing 67**, Columbia 86, Hewlett 148, **Orleton 282**, Packard 203, Steele 252
Delaware: Champlin 403, Copeland 406, Marmot 419
Illinois: **Quaker 754**
Massachusetts: Cabot 989, **Campbell 992**
Michigan: **Kellogg 1161**, Upjohn 1202
Minnesota: **Congdon 1248, Weyerhaeuser 1386**
Missouri: Kemper 1346
New Jersey: **Dodge 1433, Huber 1443, Kirby 1453**
New York: Baird 1544, **Burnham 1586, Caritas 1594**, Children's 1612, **Compton 1629**, Doubleday 1667, **Ford 1692, Hecht 1761**, Hochschild 1771, Mather 1875, **Monell 1910**, Plant 1974, **Prospect 1983, Scherman 2038**, Sharp 2050, Sprague 2063, **Wallace 2122**, Wilson 2154
Ohio: Britton 2254, **Brush 2255**, Iddings 2324, Pollock 2387
Pennsylvania: Calhoun 2534, Laurel 2617, Snyder 2693, Stott 2702
Texas: Clayton 2812, Favrot 2843, Halff 2858, McAshan 2892
Utah: Harris 2968
Wisconsin: Allen-Bradley 3061

In the Index of Foundations by State and City, we find a longer list of Philadelphia foundations whose *Directory* entries should be checked for evidence of a potential interest in films, family planning, youth, etc., just as we did with the entries in the Geographic Index of *Source Book Profiles*.

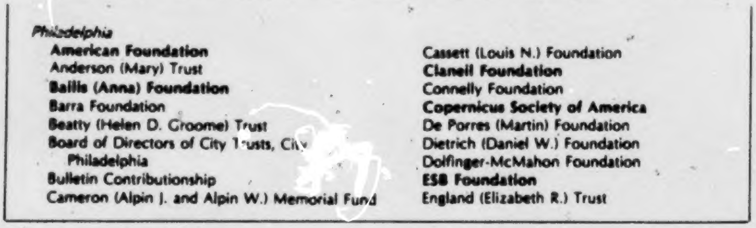


Figure 37 *Foundation Directory*, Index of Foundations by State and City

Philadelphia
American Foundation
Anderson (Mary) Trust
Baills (Anna) Foundation
Barra Foundation
Beatty (Helen D. Groome) Trust
Board of Directors of City Trusts, City Philadelphia
Bulletin Contributionship
Cameron (Alpin J. and Alpin W.) Memorial Fund
Cassett (Louis N.) Foundation
Claneil Foundation
Connelly Foundation
Copernicus Society of America
De Porres (Martin) Foundation
Dietrich (Daniel W.) Foundation
Dolfinger-McMahon Foundation
ESB Foundation
England (Elizabeth R.) Trust

Step Six: State and Local Foundation Directories.

Our preliminary list of prospects is fairly long at this point. Now we should review the subject indexes to any of the specialized resources or general directories which are available to us and appropriate for this project. We are fortunate that there is a particularly good state directory of foundations for Pennsylvania, which includes a subject index to the major interests of the more than 1,000 Pennsylvania foundations included.

All of the foundations we have uncovered through our subject research must now be investigated individually to see whether, in fact, they are likely funding prospects. We have collected their names based on limited information about one aspect of their grantmaking. Next we have to see where that aspect fits within their total funding pattern. For full details on researching foundation prospects, review Chapter 8 and then take a look at the Prospect Research Sample in Appendix C.

Appendix B

Sample Geographic Searches

The Geographic Research Methods described in Chapter 7 can be used to identify foundations of any size in any geographic area, be it a city, state, zip code area, or region. They are used most frequently to identify smaller foundations not listed in most published sources, but that's just one of the ways you can use geographic research effectively. You can also use geographic research to:

- get a clear picture of the foundation community in your area, including the total number of foundations and the size distribution.
- find foundations in your city of a specific size, assets of $50,000 to $250,000 for example, or annual grants exceeding $15,000.
- find all foundations in your state that issue annual reports.
- find large foundations located elsewhere with a record of grantmaking in your state.
- be sure you have not overlooked any of the largest foundations in your city or state and have familiarized yourself with their giving interests.

Because there are few steps in the geographic research process and few publications to review, let's take a couple of research problems and see what steps we might follow to find geographically appropriate prospects in each situation.

Problem One.

A Grand Rapids, Michigan, private secondary school needs $1,000 for audiovisual equipment. Luckily, there is a directory of Michigan foundations prepared by the Council of Michigan Foundations which describes 507 foundations in that state. The directory has a city listing so we can review that section for foundations based in Grand Rapids.

Figure 38 Sample Entry from *The Michigan Foundation Directory*

13
Baldwin Foundation
300 Old Kent Bank Building
Grand Rapids 49502 (616) 774-5216

Established about 1964 in Michigan.

Purpose and Activities: Grants largely for community improvement and institutions of higher education in Kent County. No grants to individuals or for operating budgets or research.

Financial Data (yr. ended 11/30/76): Assets, $625,000 (M); expenditures, $29,564, including $28,000 for 21 grants (high: $13,000; low: $2,000).

Officer and Trustees: Melvin D. Baldwin, President; Julie B. Baldwin, Ralph B. Baldwin, Carol B. Curlin, John R. Davis, Frances B. Mulnix, Old Kent Bank and Trust Company.

Write: Melvin D. Baldwin, President.

Grant Application Information: Initial approach by letter; submit 1 copy of proposal in April or October; board meets semiannually in May and November.

IRS Employer Identification No.: 386085641

Figure 39 City Listings from *The Michigan Foundation Directory*

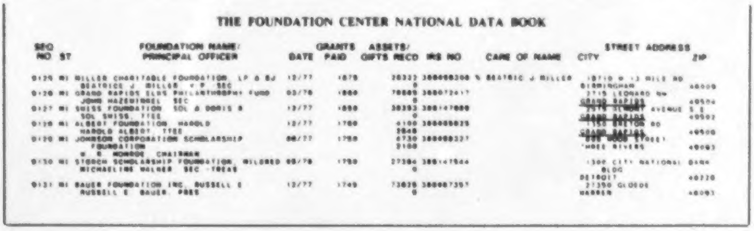
GRAND RAPIDS

ABJ Foundation
Applegate Foundation
Associated Truck Lines Foundation, Inc.
Baldwin Foundation
Battjes (Dewey D. and Hattie) Foundation
Berkowitz (Hy. and Gretal) Foundation
Bylan (H.J.) Foundation
Campbell (Kenneth H.) Foundation for Neurological Research
Cook (Peter C. and EmaJean) Charitable Trust
Darling Family Charitable Foundation
Daverman (Herbert G.) Foundation
Daverman (Edward H.) Foundation
Daverman (Joseph T.) Foundation
DeVos (Richard and Helen) Foundation
Dexter Industries Charitable Fund
Dyer-Ives Foundation
Evenson (Charles Robert) Foundation
Gittlen (Alex and Ruth) Foundation
Gordon Christian Foundation
Grand Rapids Foundation
Hager Family Foundation
Heaney Charitable Foundation
Kent Medical Foundation
Kent Charitable Trust
Kravitz (Sam and Jane) Foundation
Lexo Charitable Trust

Whenever there is an area or state directory of foundations available, it helps to read it from cover to cover. The research may not always pay off for a particular project, but it's a good way to become familiar with the range of foundation philanthropy in the state.

Because the *National Data Book* lists 680 Michigan foundations (173 more than *The Michigan Foundation Directory*), we should check quickly the 122 pages of Michigan foundation listings to identify the very smallest foundations in Grand Rapids which did not meet the criteria for *The Michigan Foundation Directory*. Because the *National Data Book* is arranged in descending size order, we can even begin our research at the cutoff point for the *Michigan Foundation Directory*, which was assets of over $200,000 or grants totaling at least $25,000 annually. We could go as low as the Silas F. and Estelle J. Albert Foundation in Grand Rapids which made grants totaling $25 in 1977, but it's probably more realistic to look at foundations that made grants in excess of $1,000. In any event, the *Data Book's* columnar arrangement makes it easy to pick out the Grand Rapids foundations.

Figure 40 *National Data Book* Entries



THE FOUNDATION CENTER NATIONAL DATA BOOK

SEQ NO ST · FOUNDATION NAME/ PRINCIPAL OFFICER · DATE · GRANTS PAID · ASSETS/ GIFTS RECD · IRS NO · CARE OF NAME · STREET ADDRESS CITY · ZIP

We should take a look at the *Geographic COMSEARCH* for Michigan, too, but the foundations listed will probably be too large to be responsive to this particular need. This would be true of the Geographic Index to *Source Book Profiles*, as well. We should, however, take a look at *Foundation Directory* entries under Grand Rapids in the Index of Foundations by State and City. The names in regular typeface concentrate on local giving and would probably be of greatest interest.

Figure 41 *Foundation Directory*, Index of Foundations by City and State

Fremont
  Fremont Area Foundation
  Gerber Baby Foods Fund
Grand Haven
  Loutit Foundation
Grand Rapids
  DeVos (Richard and Helen) Foundation
  Grand Rapids Foundation
  Rapids-Standard Foundation
  Seidman (Thomas Erler) Foundation
  Steelcase Foundation
Grosse Point Farms
  Earl-Beth Foundation
Grosse Pointe Park
  Seymour and Troester Foundation
Grosse Pointe Woods
  Stephenson (Edward C. and Hazel L.) Foundation
Harper Woods
  Fink (George R. and Elise M.) Foundation

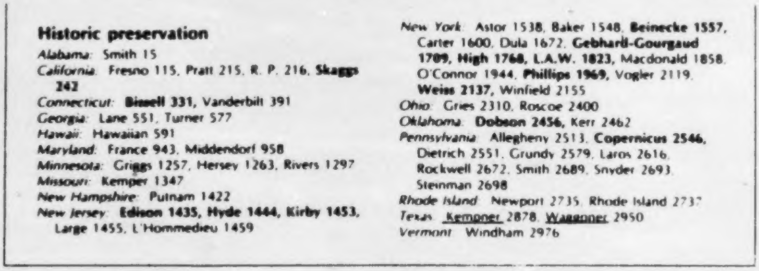
Problem Two.

A Houston, Texas, historical society needs $10,000 to buy the archives of a private library of original Texas documents. This search is best approached using both subject and geographic research methods. It involves a fairly sizeable request which will have a purely local impact. Since there are an unusually large number of foundations in Texas which make substantial grants and which are restricted to Texas-based groups, a geographic search, cross-checked against subject interests, should be very fruitful.

There are two directories of Texas foundations. The most useful, *The Directory of Texas Foundations*, was compiled and edited by William Hooper and published by the Texas Foundation Research Center in 1978. It covers 1,400 foundations and is indexed by subject and city. The other directory, *The Guide to Texas Foundations*, was compiled in 1975 by the Texas Attorney General's office and covers only 214 foundations. Whenever there is more than one area directory available, it is worthwhile to review each one briefly to verify their usefulness based on the currency of data, scope of coverage, indexing, and arrangement.

The Foundation Directory's Index of Fields of Interest, which is arranged by subject and by state, seems tailored to our combined geographic and subject search. Looking under Historic Preservation, we find two Texas foundations to add to our list.

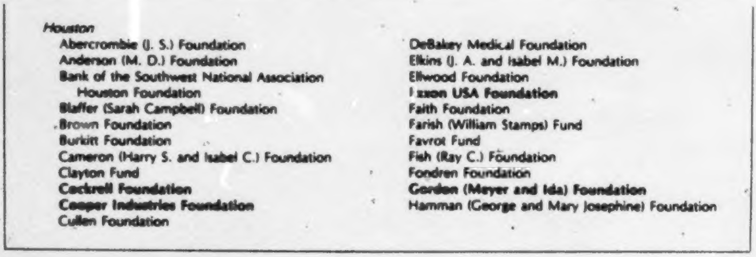
Figure 42 *Foundation Directory*, Index of Fields of Interest



Historic preservation
Alabama: Smith 15
California: Fresno 115, Pratt 215, R. P. 216, **Skaggs 242**
Connecticut: **Bissell 331,** Vanderbilt 391
Georgia: Lane 551, Turner 577
Hawaii: Hawaiian 591
Maryland: France 943, Middendorf 958
Minnesota: Griggs 1257, Hersey 1263, Rivers 1297
Missouri: Kemper 1347
New Hampshire: Putnam 1422
New Jersey: **Edison 1435, Hyde 1444, Kirby 1453,** Large 1455, L'Hommedieu 1459
New York: Astor 1538, Baker 1548, **Beinecke 1557,** Carter 1600, Dula 1672, **Gebhard-Gourgaud 1709, High 1768, L.A.W. 1823,** Macdonald 1858, O'Connor 1944, **Phillips 1969,** Vogler 2119, **Weiss 2137,** Winfield 2155
Ohio: Gries 2310, Roscoe 2400
Oklahoma: **Dobson 2456,** Kerr 2462
Pennsylvania: Allegheny 2513, **Copernicus 2546,** Dietrich 2551, Grundy 2579, Laros 2616, Rockwell 2672, Smith 2689, Snyder 2693, Steinman 2698
Rhode Island: Newport 2735, Rhode Island 2737
Texas: Kempner 2878, Waggoner 2950
Vermont: Windham 2976

The Index of Foundations by State and City is also a good place to check for Houston-area foundations which might be interested in this project. Remember that foundations which are listed in bold type give grants on a national or regional basis, while the remainder focus on local giving. In this case, those which give locally will probably be more likely prospects.

Figure 43 *Foundation Directory*, Index of Foundations by State and City



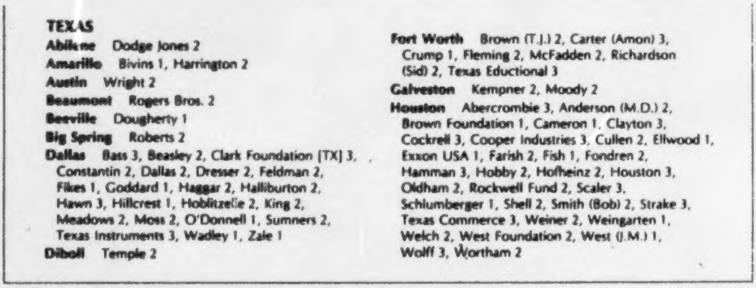
Houston

- Abercrombie (J. S.) Foundation
- Anderson (M. D.) Foundation
- Bank of the Southwest National Association Houston Foundation
- Blaffer (Sarah Campbell) Foundation
- Brown Foundation
- Burkitt Foundation
- Cameron (Harry S. and Isabel C.) Foundation
- Clayton Fund
- **Cockrell Foundation**
- **Cooper Industries Foundation**
- Cullen Foundation
- DeBakey Medical Foundation
- Elkins (J. A. and Isabel M.) Foundation
- Ellwood Foundation
- **Exxon USA Foundation**
- Faith Foundation
- Farish (William Stamps) Fund
- Favrot Fund
- Fish (Ray C.) Foundation
- Fondren Foundation
- **Gordon (Meyer and Ida) Foundation**
- Hamman (George and Mary Josephine) Foundation

Additional names might be uncovered by checking for large foundations in the Geographic Index of *Source Book Profiles*. We should again note Houston foundations specifically, as well as reviewing all Texas foundations.

The Subject Categories Index of *The Foundation Grants Index*, like the *Directory's* Fields of Interest Index, allows us to research foundations by subject and geographic interest simultaneously. Looking under Texas in the History category, we find a number of grant references. In checking these references, we find that two relevant grants were made by non-Texas foundations, the Atlantic Richfield and Kresge Foundations, to the Galveston Historical Society (Figure 45). It will take further research to determine whether these two foundations would be receptive to requests from other Texas nonprofits in this field.

Figure 44 *Source Book Profiles*, Geographic Index



TEXAS

Abilene Dodge Jones 2

Amarillo Bivins 1, Harrington 2

Austin Wright 2

Beaumont Rogers Bros. 2

Beeville Dougherty 1

Big Spring Roberts 2

Dallas Bass 3, Beasley 2, Clark Foundation [TX] 3, Constantin 2, Dallas 2, Dresser 2, Feldman 2, Fikes 1, Goddard 1, Haggar 2, Halliburton 2, Hawn 3, Hillcrest 1, Hoblitzelle 2, King 2, Meadows 2, Moss 2, O'Donnell 1, Sumners 2, Texas Instruments 3, Wadley 1, Zale 1

Diboll Temple 2

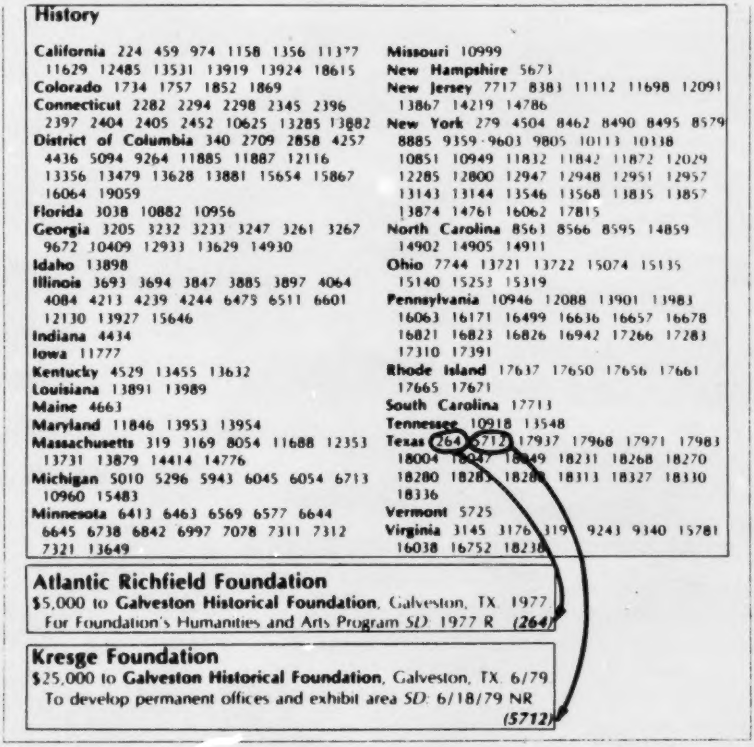
Fort Worth Brown (T.J.) 2, Carter (Amon) 3, Crump 1, Fleming 2, McFadden 2, Richardson (Sid) 2, Texas Eductional 3

Galveston Kempner 2, Moody 2

Houston Abercrombie 3, Anderson (M.D.) 2, Brown Foundation 1, Cameron 1, Clayton 3, Cockrell 3, Cooper Industries 3, Cullen 2, Ellwood 1, Exxon USA 1, Farish 2, Fish 1, Fondren 2, Hamman 3, Hobby 2, Hofheinz 2, Houston 3, Oldham 2, Rockwell Fund 2, Scaler 3, Schlumberger 1, Shell 2, Smith (Bob) 2, Strake 3, Texas Commerce 3, Weiner 2, Weingarten 1, Welch 2, West Foundation 2, West (J.M.) 1, Wolff 3, Wortham 2

At this point we've covered the most appropriate sources. If these leads were not to produce a sufficient number of foundations who might be interested in the project and we wanted to pursue our research further, there are some other resources we could check. The *Geographic COMSEARCH* for Texas might give us some additional leads. We could also check under historical preservation-related topics in a number of subject indexes, such as *Subject COMSEARCH*, *Source Book Profiles*, and *The Foundation Directory*. However, the best strategy in developing a prospect list, whether from a subject or geographic perspective, is to use the research tools in the order in which you anticipate they will be most useful based on your particular research problem. Start with the tool you expect to be most productive and work your way down the list of resources in that order. Whenever your list reaches the point where you have a number of what you consider to be highly likely candidates, stop to research those foundations in greater depth. There is no point in developing a long prospect list when the first three foundations you identified are obviously most appropriate. The more peripheral your prospect research gets, the less likely you'll be to turn up truly viable additional candidates. If, on the other hand, the foundations which you identified at first turn out to be inappropriate upon detailed investigation, nothing is lost, and you can return to your prospect research and expand your list further.

Figure 45 *Foundation Grants Index*, Subject Categories Index



History

California 224 459 974 1158 1356 11377 11629 12485 13531 13919 13924 18615
Colorado 1734 1757 1852 1869
Connecticut 2282 2294 2298 2345 2396 2397 2404 2405 2452 10625 13285 13882
District of Columbia 340 2709 2858 4257 4436 5094 9264 11885 11887 12116 13356 13479 13628 13881 15654 15867 16064 19059
Florida 3038 10882 10956
Georgia 3205 3232 3233 3247 3261 3267 9672 10409 12933 13629 14930
Idaho 13898
Illinois 3693 3694 3847 3885 3897 4064 4084 4213 4239 4244 6475 6511 6601 12130 13927 15646
Indiana 4434
Iowa 11777
Kentucky 4529 13455 13632
Louisiana 13891 13989
Maine 4663
Maryland 11846 13953 13954
Massachusetts 319 3169 8054 11688 12353 13731 13879 14414 14776
Michigan 5010 5296 5943 6045 6054 6713 10960 15483
Minnesota 6413 6463 6569 6577 6644 6645 6738 6842 6997 7078 7311 7312 7321 13649
Missouri 10999
New Hampshire 5673
New Jersey 7717 8383 11112 11698 12091 13867 14219 14786
New York 279 4504 8462 8490 8495 8579 8885 9359 9603 9805 10113 10338 10851 10949 11832 11842 11872 12029 12285 12800 12947 12948 12951 12957 13143 13144 13546 13568 13835 13857 13874 14761 16062 17815
North Carolina 8561 8566 8595 14859 14902 14905 14911
Ohio 7744 13721 13722 15074 15135 15140 15253 15319
Pennsylvania 10946 12088 13901 13983 16063 16171 16499 16636 16657 16678 16821 16823 16826 16942 17266 17283 17310 17391
Rhode Island 17637 17650 17656 17661 17665 17671
South Carolina 17713
Tennessee 10918 13548
Texas 264 5712 17937 17968 17971 17983 18004 18047 18049 18231 18268 18270 18280 18283 1828[illegible] 18313 18327 18330 18336
Vermont 5725
Virginia 3145 3176 319[illegible] 9243 9340 15781 16038 16752 18238

Atlantic Richfield Foundation
$5,000 to **Galveston Historical Foundation**, Galveston, TX 1977
For Foundation's Humanities and Arts Program *SD*: 1977 R *(264)*

Kresge Foundation
$25,000 to **Galveston Historical Foundation**, Galveston, TX 6/79
To develop permanent offices and exhibit area *SD*: 6/18/79 NR
(5712)

Appendix C

Prospect Research Samples

The most important part of the entire funding research process is learning all you can about the specific foundations that you feel might be interested in your proposal. You may have uncovered these prospects through subject research or geographic research, or you may have simply heard about their interest in your field from a colleague or at a meeting. In any case, before submitting a request to any foundation you will want to learn as much as possible about it. Let's explore the resources discussed in Chapter 8 by researching a few of the foundations we uncovered in our subject and geographic research examples.

Among the foundations our subject search uncovered for the Philadelphia group doing a documentary film on teen pregnancy (Appendix A) were the Morris and Gwendolyn Cafritz Foundation (DC), General Service Foundation (MN), and Geraldine Rockefeller Dodge Foundation (NJ). We noted the state location of each because we know that information will speed our subsequent research.

The first thing to find out is whether these foundations issue annual reports. Checking their *Foundation Directory* entries, we find that all three foundations do publish annual reports. Simultaneously, it is worthwhile to see if *Source Book Profiles* are available for these foundations, as data from their annual reports and other sources will be condensed and analyzed there for quick review.

The Dodge Foundation has an annual report and is profiled in *Source Book Profiles*. From these sources we learn that it is unlikely to make grants outside New Jersey for projects other than animal welfare or secondary education, but they have indicated an interest in population-related projects. Because of this interest and because the target audience of our proposal is secondary school-age children, the foundation seems to be a potential prospect even though our organization is located outside New Jersey. The General Service Foundation also seems like a good candidate since they have no geographic restrictions and because population is a major area of interest. On the other hand, we can eliminate the Cafritz Foundation because their grants are restricted to the Washington, D.C. area.

A foundation's *Source Book Profile* and annual report tell us a great deal about that foundation. From the profiles and annual reports of the General Service and Dodge Foundations, we are able to see exactly who has received grants from them and read full descriptions of those grants. Information about their grantmaking processes and application preferences is also provided. For example, we learn that the Dodge Foundation prefers to receive a preliminary letter outlining a project and the six specific items they want to see in that letter, while the General Service Foundation prefers to receive initial inquiries by phone.

When a *Source Book Profile* and an informative annual report are available for a foundation, there is little reason to consult other sources. IRS returns are rarely more helpful than an annual report, but you may want to review a foundation's IRS return anyway if it is easily available. If you are able to visit a Foundation Center library, you may want to check the clipping files for the foundation to see if any supplemental data is available. In the New York library file on the General Service Foundation you would find historical copies of its IRS returns and copies of The Foundation Center questionnaires it has completed. In this case, these sources add little to our knowledge of the foundation. Because the Dodge Foundation is fairly new and was featured prominently in the news when it was established, however, we find a great deal of background information, largely periodical and newspaper clippings, in its library file. These add an interesting perspective to our knowledge of the foundation. The chance of finding this kind of material makes a check of library files worthwhile.

In the examples above we would probably bypass *The Foundation Directory* and look only quickly at the available state foundation directories for Minnesota and New Jersey. Each of these states has two directories, but none of them provide additional or better information than we've already found. After researching a few foundations you'll develop an awareness of what you need to know and which sources are most likely to provide it. Then you'll feel confident about when to conclude your research on a particular foundation. Until that point, it's safest to consult all of the sources to be sure you don't miss anything.

The geographic research examples we discussed in Appendix B uncovered some smaller foundations about which it is generally harder to find adequate information. For example, we found the names of five foundations located in Grand Rapids, Michigan, in *The Foundation Directory's* Index of Foundations by State and City (Figure 41): The Richard and Helen DeVos Foundation, The Grand Rapids Foundation, The Rapids-Standard Foundation, The Thomas Erler Seidman Foundation, and The Steelcase Foundation.

Two of those foundations are listed in boldface type, indicating that they give on a national or regional basis, while the other three are categorized as locally-oriented. It will probably be worthwhile to check all five foundations a little further, beginning with their *Foundation Directory* entries.

The Grand Rapids Foundation and Steelcase Foundation are the only ones in this group which issue annual reports. The statement of purpose for The DeVos Foundation in *The Foundation Directory* would seem to eliminate it for this project, but the purpose statements of the other foundations don't seem to exclude our request for audiovisual equipment for a private secondary school.

Figure 46 *Foundation Directory* Entries

DeVos (The Richard and Helen) Foundation ▼ ¤
7154 Windy Hill Road, S.E.
Grand Rapids 49506
Incorporated in 1969 in Michigan.
Donor(s): Richard M. DeVos, Helen J. DeVos.

Purpose and Activities: Charitable purposes; giving largely for religious programs and associations, church support, music, higher education, and community funds.

Grand Rapids Foundation ▼
300-E Waters Building
Grand Rapids 49503 (616) 454-1751
Community foundation established in 1922 in Michigan by resolution and declaration of trust.

Purpose and Activities: To provide support for projects or causes designed to benefit the people and the quality of life in the Grand Rapids community and its environs. No grants to individuals, except for scholarships or loans; no grants for endowment funds. Report published annually.

Steelcase Foundation
c/o Steelcase, Inc.
1120 Thirty-sixth Street, S.E.
Grand Rapids 49508 (616) 247-2229
Trust established in 1951 in Michigan.
Donor(s): Steelcase, Inc.

Purpose and Activities: Primarily local giving, with emphasis on community funds, higher education, youth agencies, and hospitals. No grants to individuals or for endowment funds. Report published annually.

For the Grand Rapids and Steelcase Foundations, our research would proceed with the annual reports. The Grand Rapids Foundation is also included in *Source Book Profiles* so our information on that foundation will be substantial. The remaining foundations should be checked in available state foundation directories. *The Michigan Foundation Directory* duplicates the entries in *The Foundation Directory* for those Michigan foundations with assets over $1 million or total grants over $100,000. Since these five foundations fall into that group, the state directory will not be of any use here. However, the *Michigan Directory* has broader criteria than the *Foundation Directory*; it includes all Michigan foundations with assets over $200,000 or grants over $25,000. It will be useful, therefore, in researching the smaller Grand Rapids foundations we identified through the *National Data Book*.

For the Rapids-Standard and Seidman Foundations, which have no annual reports and are not covered in *Source Book Profiles*, we will have to turn to the returns they file with IRS for the information we could not find in

The Foundation Directory and *The Michigan Foundation Directory*. We have an idea of their size and general giving interests from the directories, but their IRS reports will tell us exactly what size grants they've made and to what organizations.

Other than the recipients' names and the amounts of the grant awards, the amount of grant information will vary greatly from return to return. For the Rapids-Standard Foundation, for example, we find grants listed by broad general categories, like "Civic and Social Welfare" and "Education," which gives us some idea about the nature of the grants even though descriptions for individual grants are not provided. Full addresses are provided for each recipient. The Seidman Foundation, on the other hand, lists just the city and state location for each recipient on its return. It also provides a general statement describing each grant, using phrases such as annual support, challenge grant, endowment fund drive, and museum fund.

By examining the IRS returns of each of these foundations carefully, we'll get an idea of whether our request is within their general giving parameters in terms of size and type of recipient. The less information available about a foundation, however, the less certain we can be about its suitability for our proposal. While grantseekers have a responsibility to do their homework and only submit proposals to suitable foundations, foundations have a corresponding responsibility to make information about their giving interests and priorities available to the public.

Appendix D

Additional Sources of Information

Chapter 1—What Are Foundations?

Andrews, F. Emerson. *Philanthropy in the United States: History and Structure*. New York: The Foundation Center, 1978. 35pp.$1.50 (Order from: 888 Seventh Ave., New York, NY 10106.)

Buckman, Thomas R. "Introduction to *The Foundation Directory*, 7th Edition." Reprint. New York: The Foundation Center, 1979. 32pp. Free. (Order from: 888 Seventh Ave., New York, NY 10106.)

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Appendix E

A Bibliography of Area Foundation Directories

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California (45 Bay Area foundations. *Small Change From Big Bucks: A Report and Recommendations on Bay Area Foundations and Social Change*. Edited by Herb Allen and Sam Sternberg. 1979. 226pp. Based primarily on 1976 990-AR returns filed with the IRS, CT-2 forms filed with California, annual reports, and interviews with foundations. Main section arranged alphabetically by foundation. Includes sections on the Bay Area Committee for Responsive Philanthropy, foundations and social change, the study methodology, and the committee's findings and recommendations. No indexes. Appendices of Bay Area resources for technical assistance, bibliography, nonprofit organizations in law and fact, and glossary. Available from Bay Area Committee for Responsive Philanthropy, 944 Market St., San Francisco, CA 94102. Make check payable to: Regional Young Adult Project. $6 prepaid.

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New Hampshire (138 foundations). *A Directory of Foundations in the State of New Hampshire*. 2nd edition. Edited by John Parker Huber. 1975. Based on 1973 990-PF and 990-AR returns filed with the IRS. Main section arranged alphabetically by foundation. Indexed by city or town, areas of interest, asset amount, and grants amount. Available from Eastern Connecticut State College Foundation, Inc., Box 431, Willimantic, CT 06626. $5 prepaid.

New Jersey (783 foundations). *Foundations in New Jersey: A Directory*. 2nd edition. Compiled by the Governmental Reference Office, Bureau of Law, Legislative and General Reference Services Division of the New Jersey State Library, Archives and History. June 1978. Irregular paging. Based on 1976 and 1977 990-PF and 990-AR returns filed with the IRS. Contains two sections: an alphabetical listing of foundations by name with IRS number and county, and a listing of foundations by county with address. Available from the Governmental Reference Office, New Jersey State Library, Box 1898, Trenton, NJ 08625. Free; limited supply.

New Jersey (321 foundations and 374 corporations). *The New Jersey Mitchell Guide: Foundations, Corporations, and Their Managers*. 2nd edition. Former title: *A Directory of New Jersey Foundations)*. Edited by Janet A. Mitchell. 1980. vi, 218pp. Based on 1977 and 1978 990-PF and 990-AR returns filed with the IRS and information supplied by foundations. Arranged alphabetically by foundation. Includes sections on corporations and scholarship foundations, and indexes of foundations and corporations by county and by managers. Lists foundations deleted since the 1977 *Directory of New Jersey Foundations*. Appendices include foundation statistics, foundations with assets over $1 million, and foundations with grant totals over $100,000. Available from The Mitchell Guides, Box 413, Princeton, NJ 08540. $20 prepaid.

New York (950 entries). *New York Foundation Profiles*. Edited by James H. Taylor. 1976. 259pp. Based on 1974 and 1975 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Available from Davis-Taylor Associates, Inc., Route 3, Box 289, Mt. Morgan Road, Williamsburg, KY 40769. $29.95.

North Carolina (415 foundations). *A Guide to Foundations of the Southeast. Volume II: North Carolina, South Carolina*. Edited by Jerry C. Davis. 1975. x, 200pp. Based on 1973 and 1974 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation within each state. Index of officers. Published by Davis-Taylor Associates, Inc. Out of print.

Ohio (3,500 foundations). *Charitable Foundations Directory of Ohio*. 3rd edition. 1978. 185pp. Based on 1973-1977 records in the Ohio Attorney General's Office and returns filed with the IRS. Includes information on all charitable organizations reporting to the Attorney General under Ohio

Revised Code 109.31 and the Federal Tax Reform Act of 1969 (trusts, foundations, charitable organizations). Arranged alphabetically by foundation. Indexes of counties, purposes, and foundation names. Available from Charitable Foundations Directory, Attorney General's Office, 30 E. Broad St., 15th Fl., Columbus, OH 43215. $4 prepaid.

Ohio (42 foundations). *Guide to Charitable Foundations in the Greater Akron Area.* 1st edition. Prepared by Human Services Planning Library. 1978. iii, 63pp. Based on United Way files, the Charitable Foundations Directory of Ohio, 990-PF and 990-AR returns filed with the IRS, and information supplied by foundations. Main section arranged alphabetically by foundation; includes section on scholarship foundations and section on proposal writing. Appendix lists recently terminated Akron area foundations. Indexed by assets, grants, subject categories, and officers and trustees. Available from Human Services Planning Library, United Way of Summit County, Box 1260, 90 N. Prospect St., Akron, OH. $2.50.

Oklahoma (269 foundations). *Directory of Oklahoma Foundations.* Edited by Thomas E. Broce. 1974. vii, 304pp. Based on data from cooperating foundations or from 1971 and 1972 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Index of foundation grant activities. Available from University of Oklahoma Press, 1005 Asp Ave., Norman, OK 73069. $9.95.

Oregon (282 foundations). *The Guide to Oregon Foundations.* Produced by the Tri-County Community Council, a United Way Agency. 1977. xvii, 263pp. Based on files at the office of the Oregon State Registrar of Charitable Trusts and information supplied by the foundations. Divided into five sections: General Purpose Foundations, Special Purpose Foundations, Student Aid Funds, Service Clubs, and National Foundations with an Active Interest in Oregon. Appendices include: Foundations excluded from *Guide*: Oregon foundations having assets of $500,000 or more in most recent fiscal year: Oregon foundations making grants of $50,000 or more in most recent fiscal year; a regional breakdown of Oregon foundations outside of metropolitan Portland; *Guide* personnel; letter introducing foundation questionnaire; foundation personnel; foundation research form; other private funding sources; grants to Oregon organizations from 1975 to August 1, 1977 by national foundations reporting on a regular basis to The Foundation Center, New York; foundation resource centers and bibliography; and Grants Retrieval Service. Indexed by foundation names. Available from the Tri-County Community Council, 718 Burnside, Portland, OR 97209. $7.50 plus $.50 postage.

Pennsylvania (1,078 foundations). *Directory of Pennsylvania Foundations.* 1st edition. 1978. Compiled by S. Damon Kletzien, with assistance from Margaret H. Chalfant and Frances C. Ritchey. xvi, 304pp. Based on 1975 and 1976 990-PF and 990-AR returns filed with the IRS and information supplied by foundations. Arranged alphabetically by foundation within geographic regions. Appendices cover how to approach foundations, program planning and proposal writing, and broadening the foundation search. Includes indexes of officers, directors and trustees; major interests; and foundation names. Available from Friends of the Free Library (Attn. Directory), Free Library of Philadelphia, Logan Square at 19th St., Philadelphia, PA 19103. $14 prepaid.

Pennsylvania (194 foundations). *Pittsburgh Area Foundation Directory*. 1976. 97pp. Based on 1971-1974 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Index of foundation activity. Available from Community Action Pittsburgh, Inc., Planning and Research Division, Fulton Building, 107 6th St., Pittsburgh, PA 15227. $10.

Rhode Island (117 foundations). *A Directory of Foundations in the State of Rhode Island*. 2nd edition. Edited by John Parker Huber. 1975. 39pp. Based on 1973 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Indexed by city or town, interests, asset amounts, and grants amounts. Available from Eastern Connecticut State College Foundation, Inc., Box 431, Willmantic, CT 06226. $5 prepaid.

South Carolina (203 foundations). *South Carolina Foundation Directory*. 1st edition. Edited by Anne K. Middleton. 1978. 53pp. Based on 1975 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Indexed by city and fields of interest. Available from Anne K. Middleton, Assistant Reference Librarian, South Carolina State Library, Box 11469, Columbia, SC 29211. Send $.70 in postage stamps.

South Carolina (131 foundations). See **North Carolina**.

Tennessee (238 foundations). See **Kentucky**.

Texas (approximately 1,400 foundations). *Directory of Texas Foundations*. 2nd edition. Compiled and edited by William J. Hooper. 1978. vi, 184pp. Based on 1971 to 1978 (mostly 1977) 990-PF and 990-AR returns filed with the IRS, plus some 150 telephone calls to key foundations. Arranged alphabetically by foundation. Indexed by areas of interest and cities. Available from Texas Foundation Research Center, Box 5494, Austin, TX 78763. $15.75 prepaid or $17 if billed.

Texas (214 foundations). *The Guide to Texas Foundations*. 1975. 104pp. Based on data from cooperating foundations or from 1973 and 1974 records in the Texas Attorney General's Office. Divided into four sections: Dallas foundations, Fort Worth foundations, Houston foundations, and other cities. Each section includes a detailed listing of foundations with grants greater than $30,000 per year and brief listing of foundations with grants under $30,000 per year. Indexed by foundation name. Available from the Southern Resource Center, Box 5593, Dallas, TX 75222. $7.50 (includes postage and handling).

Vermont (41 foundations). *A Directory of Foundations in the State of Vermont*. Edited by Denise M. McGovern. 1975. 24pp. Based on 1972 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Indexed by city or town, interests, asset amount, and amount of grants. Available from Eastern Connecticut State College Foundation, Inc., Box 431, Willmantic, CT 06226. $3 prepaid.

Virginia (319 foundations). See **Kentucky**.

Virginia (102 foundations). *Virginia Directory of Private Foundations*. Office of Human Resources, Department of Intergovernmental Affairs. 1977. 70pp. Based on 1974 and 1975 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Indexed by foundation name, geographical area, and region. Available from Department of Intergovernmental Affairs, Fourth Street Office Building, 205 N. 4th St., Richmond VA 23219. $2 prepaid.

Washington (458 foundations). *Charitable Trust Directory*. 1975. 92pp. Based on 1974 records in the Washington Attorney General's Office. Arranged alphabetically by foundation. No indexes. Available from the Office of the Attorney General, Temple of Justice, Olympia, WA 98504. $3 prepaid.

West Virginia (approximately 99 foundations). *West Virginia Foundation Directory*. Compiled and edited by William Seeto. 1979. 49pp. Based on 1977 and 1978 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation. Lists inactive or terminated foundations. Indexed by county and city. Available from West Virginia Foundation Directory, Box 96, Route 1, Terra Alta, WV 26764. $7.95 prepaid.

Wisconsin (645 foundations). *Foundations in Wisconsin: A Directory 1978*. 3rd edition. Compiled by Margaret J. Marik. 1978. xvi, 337pp. Based on 1976 and 1977 990-PF and 990-AR returns filed with the IRS. Arranged alphabetically by foundation name. Includes lists of inactive foundations, operating foundations, and terminated foundations. Indexed by counties, foundation managers, and areas of interest in 36 subject categories. Available from The Foundation Collection, Marquette University Memorial Library, 1415 W. Wisconsin Ave., Milwaukee, WI 53233. $12.50 prepaid (plus $.48 sales tax or Wisconsin tax exempt number).

Appendix F

The Foundation Center Regional Collections

The Foundation Center has a nationwide network of foundation reference collections for free public use. These collections fall within three basic categories. The four reference libraries operated by the Center offer the widest variety of user services and the most comprehensive collections of foundation materials, including all of the Center's publications; books, services, and periodicals on foundations and philanthropy; and foundation annual reports, newsletters, and press clippings. The New York and Washington, D.C. libraries contain the IRS returns for all currently active private foundations in the U.S. The Cleveland and San Francisco libraries contain the IRS records for those foundations in the midwestern and western states, respectively. The cooperating collections generally contain IRS records for only those foundations within their state, although they may request information or copies of other records from the New York library.

● This symbol identifies reference collections operated by foundations or area associations of foundations. They are often able to offer special materials or provide extra services, such as seminars or orientations for users, because of their close relationship to the local philanthropic community.

All other collections are operated by cooperating libraries. Generally they are located within public institutions and are open to the public during a longer schedule of hours and also offer visitors access to a well-developed general library research collection.

Please telephone individual libraries for more information about their holdings or hours. To check on new locations call toll free 800-424-9836 for current information.

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Reference Collections Operated by The Foundation Center

The Foundation Center
888 Seventh Avenue
New York, New York 10019
212-975-1120

The Foundation Center
1001 Connecticut Avenue, NW
Washington, D.C. 20036
202-331-1400

The Foundation Center
312 Sutter Street
San Francisco, California 94108
415-397-0902

The Foundation Center
Kent H. Smith Library
739 National City Bank Bldg.
Cleveland, Ohio 44114
216-861-1933

Cooperating Collections

ALABAMA

Birmingham Public Library
2020 Park Place
Birmingham 35203
205-254-2541

Auburn University at Montgomery Library
Montgomery 36117
205-279-9110

ALASKA

University of Alaska, Anchorage Library
3211 Providence Drive
Anchorage 99504
907-263-1848

ARIZONA

Phoenix Public Library
Social Sciences Subject Department
12 East McDowell Road
Phoenix 85004
602-262-4782

Tucson Public Library
Main Library
200 South Sixth Avenue
Tucson 85701
602-791-4393

ARKANSAS

Westark Community College Library
Grand Avenue at Waldron Road
Fort Smith 72913
501-785-4241

Little Rock Public Library
Reference Department
700 Louisiana Street
Little Rock 72201
501-374-7546

CALIFORNIA

Edward L. Doheny Memorial Library
University of Southern California
Los Angeles 90007
213-741-2540

San Diego Public Library
820 E Street
San Diego 92101
714-236-5816

Santa Barbara Public Library
Reference Section
40 East Anapamu
P. O. Box 1019
Santa Barbara 93102
805-962-7653

COLORADO

Denver Public Library
Sociology Division
1357 Broadway
Denver 80203
303-573-5152

CONNECTICUT

Hartford Public Library
Reference Department
500 Main Street
Hartford 06103
203-525-9121

DELAWARE

Hugh Morris Library
University of Delaware
Newark 19711
302-738-2965

FLORIDA

Jacksonville Public Library
Business, Science, and Industry Department
122 North Ocean Street
Jacksonville 32202
904-633-3926

Miami - Dade Public Library
Florida Collection
One Biscayne Boulevard
Miami 33132
305-579-5001

GEORGIA

Atlanta Public Library
Ten Pryor Street, S.W.
Atlanta 30303
404-688-4636

HAWAII

Thomas Hale Hamilton Library
University of Hawaii
Humanities and Social Sciences Division
2550 The Mall
Honolulu 96822
808-948-8568

IDAHO

Caldwell Public Library
1010 Dearborn Street
Caldwell 83605
208-459-3242

ILLINOIS

- Donors Forum of Chicago
208 South LaSalle Street
Chicago 60604
312-726-4882

Sangamon State University Library
Shepherd Road
Springfield 62708
217-786-6633

INDIANA

Indianapolis - Marion County Public Library
40 East St. Clair Street
Indianapolis 46204
317-635-5662

IOWA

Public Library of Des Moines
100 Locust Street
Des Moines 50309
515-283-4259

KANSAS

Topeka Public Library
Adult Services Department
1515 West Tenth Street
Topeka 66604
913-233-2040

KENTUCKY

Louisville Free Public Library
Fourth and York Streets
Louisville 40203
502-584-4154

LOUISIANA

East Baton Rouge Parish Library
Centroplex Library
120 St. Louis Street
Baton Rouge 70802
504-344-5291

New Orleans Public Library
Business and Science Division
219 Loyola Avenue
New Orleans 70140
504-586-4919

MAINE

University of Southern Maine
Center for Research and
Advanced Study
246 Deering Avenue
Portland 04102
207-780-4411

MARYLAND

Enoch Pratt Free Library
Social Science and History
Department
400 Cathedral Street
Baltimore 21201
301-396-5320

MASSACHUSETTS

• Associated Foundation of
Greater Boston
294 Washington Street
Suite 501
Boston 02108
617-426-2608

Boston Public Library
Copley Square
Boston 02117
617-536-5400

MICHIGAN

Alpena County Library
211 North First Avenue
Alpena 49707
517-356-6188

Henry Ford Centennial Library
16301 Michigan Avenue
Dearborn 48126
313-271-1000

Purdy Library
Wayne State University
Detroit 48202
313-577-4040

Michigan State University
Libraries
Reference Library
East Lansing 48824
517-353-8816

University of Michigan – Flint
UM—F Library
Reference Department
Flint 48503
313-762-3408

Grand Rapids Public Library
Sociology and Education Dept.
Library Plaza
Grand Rapids 49502
616-456-4411

Michigan Technological University Library
Highway U.S. 41
Houghton 49931
906-487-2507

MINNESOTA

Minneapolis Public Library
Sociology Department
300 Nicollet Mall
Minneapolis 55401
612-372-6555

MISSISSIPPI

Jackson Metropolitan Library
301 North State Street
Jackson 39201
601-944-1120

MISSOURI

• Clearinghouse for Midcontinent Foundations
Univ. of Missouri, Kansas City
School of Education Building
52nd Street and Holmes
Kansas City 64110
816-276-1176

Kansas City Public Library
311 East 12th Street
Kansas City 64106
816-221-2685

• Metropolitan Association for
Philanthropy, Inc.
5600 Oakland, G-324
St. Louis 63110
314-647-2290

Springfield – Greene County
Library
397 East Central Street
Springfield 65801
417-869-4621

MONTANA

Eastern Montana College
Library
Reference Department
Billings 59101
406-657-2320

NEBRASKA

W. Dale Clark Library
Social Sciences Department
215 South 15th Street
Omaha 68102
402-444-4822

NEVADA

Clark County Library
1401 East Flamingo Road
Las Vegas 89109
702-733-7810

Washoe County Library
301 South Center Street
Reno 89505
702-785-4190

NEW HAMPSHIRE

• The New Hampshire Charitable Fund
One South Street
P. O. Box 1335
Concord 03301
603-225-6641

NEW JERSEY

New Jersey State Library
Governmental Reference
185 West State Street
P. O. Box 1898
Trenton 08625
609-292-6220

NEW MEXICO

New Mexico State Library
300 Don Gaspar Street
Santa Fe 87501
505-827-2033

NEW YORK

New York State Library
Cultural Education Center
Humanities Section
Empire State Plaza
Albany 12230
518-474-7645

Buffalo and Erie County Public
Library
Lafayette Square
Buffalo 14203
716-856-7525

Levittown Public Library
Reference Department
One Bluegrass Lane
Levittown 11756
516-731-5728

Plattsburgh Public Library
Reference Department
15 Oak Street
Plattsburgh 12901
518-563-0921

Rochester Public Library –
Business and Social Sciences
Division
115 South Avenue
Rochester 14604
716-428-7328

Onondaga County Public
Library
335 Montgomery Street
Syracuse 13202
315-473-4491

NORTH CAROLINA

North Carolina State Library
109 East Jones Street
Raleigh 27611
919-733-3270

• The Winston-Salem Foundation
229 First Union National Bank
Building
Winston-Salem 27101
919-725-2382

NORTH DAKOTA

The Library
North Dakota State University
Fargo 58105
701-237-8876

OHIO

Public Library of Cincinnati
and Hamilton County
Education Department
800 Vine Street
Cincinnati 45202
513-369-6940

OKLAHOMA

• Oklahoma City Community
Foundation
1300 North Broadway
Oklahoma City 73103
405-235-5621

Tulsa City-County Library
System
400 Civic Center
Tulsa 74103
918-581-5144

OREGON

Library Association of Portland
Education and Documents
Room
801 S.W. Tenth Avenue
Portland 97205
503-223-7201

PENNSYLVANIA

The Free Library of Philadelphia
Logan Square
Philadelphia 19103
215-686-5423

Hillman Library
University of Pittsburgh
Pittsburgh 15260
412-624-4528

RHODE ISLAND

Providence Public Library
Reference Department
150 Empire Street
Providence 02903
401-521-7722

SOUTH CAROLINA

South Carolina State Library
Reader Services Department
1500 Senate Street
Columbia 29211
803-758-3181

SOUTH DAKOTA

South Dakota State Library
State Library Building
322 South Fort Street
Pierre 57501
605-773-3131

TENNESSEE

Memphis Public Library
1850 Peabody Avenue
Memphis 38104
901-528-2957

TEXAS

• The Hogg Foundation for
Mental Health
The University of Texas
Austin 78712
512-471-5041

Dallas Public Library
History and Social Sciences
Division
1954 Commerce Street
Dallas 75201
214-748-9071

• El Paso Community Foundation
El Paso National Bank Building
Suite 1616
El Paso 79901
915-533-4020

Houston Public Library
Bibliographic & Information
Center
500 McKinney Avenue
Houston 77002
713-224-5441 ext. 265

• Funding Information Library
Minnie Stevens Piper
Foundation
201 North St. Mary's Street
Suite 100
San Antonio 78205
512-227-8119

UTAH

Salt Lake City Public Library
Information and Adult Services
209 East Fifth Street
Salt Lake City 84111
801-363-5733

VERMONT

State of Vermont Department
of Libraries
Reference Services Unit
111 State Street
Montpelier 05602
802-828-3261

VIRGINIA

Grants Resources Library
Ninth Floor
Hampton City Hall
Hampton 23669
804-727-6496

Richmond Public Library
Business, Science, & Technology Department
101 East Franklin Street
Richmond 23219
804-780-8223

WASHINGTON

Seattle Public Library
1000 Fourth Avenue
Seattle 98104
206-625-4881

Spokane Public Library
Reference Department
West 906 Main Avenue
Spokane 99201
509-838-3361

WEST VIRGINIA

Kanawha County Public Library
123 Capitol Street
Charleston 25301
304-343-4646

WISCONSIN

Marquette University Memorial
Library
1415 West Wisconsin Avenue
Milwaukee 53233
414-224-1515

WYOMING

Laramie County Community
College Library
1400 East College Drive
Cheyenne 82001
307-634-5853

PUERTO RICO

Consumer Education and
Service Center
Department of Consumer
Affairs
Minillas Central Government
Building North
Santurce 00908

VIRGIN ISLANDS

College of the Virgin Islands
Library
Saint Thomas
U.S. Virgin Islands 00801
809-774-1252

MEXICO

Biblioteca Benjamin Franklin
Londres 16
Mexico City 6, D.F.

Appendix G

Foundation Center Publications Ordering Information

The Foundation Center is a national service organization founded and supported by foundations to provide a single authoritative source of information on foundation giving. The Center's programs are designed to help grantseekers as they begin to select from some 22,000 active U.S. foundations those few which may be most interested in their project. Among its primary activities toward this end are: (1) publishing reference books on foundations and foundation grants and (2) disseminating information on foundations through a nationwide public service program.

Publications of the Foundation Center are the primary working tools of every serious grantseeker. They are also used by grantmakers, scholars, journalists, regulators, and legislators: in short, by everyone seeking any type of factual information on foundation philanthropy. All private foundations actively engaged in grantmaking, regardless of size or geographic location, are included in one or more of the Center's publications. The publications are of three kinds: directories that describe specific foundations, characterizing their program interests and providing fiscal and personnel data; grants indexes that list and subject classify recent foundation awards; and guides, brochures, and bibliographies which introduce the reader to funding research, elements of proposal writing, and other sources of information.

Foundation Center publications may be ordered from The Foundation Center, 888 Seventh Avenue, New York, NY 10106. An order form is included on page 147 for your convenience. For more information about any aspect of the Center's program or for the name of the Center's library collection nearest you, call toll free (800) 424-9836.

SOURCE BOOK PROFILES

Source Book Profiles is an annual looseleaf subscription service offering an in-depth picture of the 1,000 largest foundations, breaking down each one's giving patterns by subject area, type of support, and type of recipient. The service operates on a two-year publishing cycle, with each one-year Series covering 500 foundations. Subscribers to the current series receive about 85 completely new 3-6 page profiles every other month. Each bimonthly installment also includes a revised, cumulative set of indexes to all 1,000 foundations covered in the two-year cycle by name, subject interest, type of grants awarded, and city and state of location or concentration of giving. Each subscriber also receives *Foundation Profiles Update*, a bimonthly news service which monitors changes in address, telephone, personnel or program direction at any of the top 1,000 foundations; a foundation calendar with board meeting and application dates; an analysis of more than 220 company-sponsored foundations; and a comprehensive listing of staffed foundations.

Series 4 (1981) Annual Subscription Fee $200; ISBN 0-87954-037-0.
Series 3 Set of 500 1979–1980 Profiles $200; ISBN 0-87954-024-9.

THE FOUNDATION DIRECTORY, 7TH EDITION

For 20 years *The Foundation Directory* has been recognized as the authoritative guide to the grantmaking interests of major American foundations. It includes the latest information on all foundations whose assets exceed $1 million or whose annual grants total $100,000 or more. The Seventh Edition includes descriptions of the nation's 3,138 largest foundations—the source of 93% of all foundation assets and 92% of total grant dollars. Entries include a description of giving interests, along with addresses, telephone numbers, current financial data, names of donors and key officers, and grant application information. The *Directory* also includes an index to state and city locations to identify locally-oriented foundations; an index to names of donors, trustees, and administrators; an index to foundation names; and a revised and expanded index to fields of interest.

7th Edition, 1979. 594 pages. ISBN-0-87954-022-2. $41.50

NATIONAL DATA BOOK, 4TH EDITION

The National Data Book is the only directory that includes all of the currently active grantmaking foundations in the U.S. The Fourth Edition has been totally reformatted to make it easier to get the key facts you need on any foundation. More than 22,000 foundations are listed in one easy-to-use volume with an alphabetical index in a separate companion volume. Foundations are arranged by state in descending order of their annual grant totals, making it easy to gather information on foundations and their giving patterns by geographic area. City names are highlighted to help you identify the small foundations in any community—information that was formerly impossible to compile. Entries include name, address, and principal officer, plus full fiscal data—market value of assets, grants paid, gifts received, and fiscal year—and an indication of which foundations publish annual reports. The introduction provides the most comprehensive statistical analysis of foundation philanthropy available. All 22,152 active foundations are profiled by state, showing the numerical distribution, dollar totals, and percentages of foundation assets and grants in each. Detailed charts illustrate the geographic concentration of foundation wealth, as well as the patterns of economic distribution. A new feature is the inclusion of community foundations, those special grantmakers that focus on the needs of their particular cities; 170 of these unique givers are listed representing assets of $1.3 billion and grants of about $190 million annually.

2 volumes. Annually in November. ISBN 0-97854-027-3. $45

FOUNDATION GRANTS TO INDIVIDUALS, 2ND EDITION

Foundation Grants to Individuals is the only publication devoted entirely to foundation grant opportunities for individual applicants. Not many of the 22,000 active U.S. foundations make grants directly to individuals, and most of the grants that are available have very specific eligibility requirements. To help individuals research funding possibilities, The Foundation Center compiled *Foundation Grants to Individuals* pulling together all of the pertinent information in one easy-to-use guide.

The second edition provides full descriptions of the programs for individuals of about 950 foundations. These foundations represent more than $8.5 billion in assets and together give over $81 million to individuals annually. Approximately 200 foundations appear in this edition for the first time. The second edition also includes foundation telephone numbers, names of trustees and staff, and sample grants. All information from the first edition has been fully revised—you'll find up-to-date addresses, program descriptions, interview and deadline information, and all new financial data.

Over 44,000 people receive grants from these foundations annually. If you're looking for money for educational assistance, for travel or study abroad, for emergency help or medical aid, or for special research or projects in the arts, sciences, social sciences, or humanities, you should investigate the grantmakers described here.

2nd Edition, 1979. 236 pages. ISBN 0-87954-025-7. $15

FOUNDATION GRANTS INDEX ANNUAL

The Foundation Grants Index, published each April, lists the grants of $5,000 or more awarded to nonprofit organizations by about 500 foundations. The annual volume includes all the grants listed during the previous year in *The Foundation Grants Index* special section of the bimonthly journal *Foundation News*, plus about 8,000 additional grants reported to the Center by foundations at year end.

The volume is arranged alphabetically by state, then by foundation name. Each entry includes the amount and date of the grant, name and location of the recipient, a description of the grant, and any known limitations in the foundation's giving pattern. It includes an index to grant recipients by name, an index to subject keywords and phrases, and a combined geographic and subject category index.

The Foundation Grants Index is the reference used by educators, librarians, fund raisers, medical personnel, and thousands of other professionals interested in learning about foundation grants. It tells you what kinds of organizations and programs the major foundations have been funding which is the best available indicators of their future giving priorities.

Annually in April. ISBN 0-87954-020-6. $27

COMSEARCH PRINTOUTS

Comsearch Printouts are computer-produced guides to foundation grants of $5,000 or more awarded by about 500 major foundations. The grant listings are drawn from each annual volume of *The Foundation Grants Index* and are rearranged in convenient subject or geographic categories. In 1980, for the first time, *COMSEARCH Printouts* are also available in the four special categories most frequently requested from the Center's other specialized data bases.

COMSEARCH Printouts: Subjects presents foundation grants information in easy-to-use subject listings. If you want to learn which foundations have been active in the last year in any of the 68 broad categories covered, *COMSEARCH Printouts: Subjects* is the best tool with which to begin your research. Though the same information is available in the *Foundation Grants Index* annual volume, the grants listed in *COMSEARCH Printouts: Subjects* have been selected and arranged by the computer, saving you the time of flipping from the annual volume's indexes to the actual entries. Subject categories include:

1. Films, Documentaries, Media & Audiovisuals
2. Television, Radio & Communications
3. Journalism, Publishing & Literature
16. Public Primary & Secondary Education
17. Independent Primary & Secondary Education
18. Higher Education—Buildings & Equipment
19. Higher Education—General Support
20. Higher Education—Special Projects

21. Higher Education—Scholarships
22. Higher Education—Fellowships
23. Libraries
24. Educational Research
25. Vocational Counseling, Career & Adult Education
26. Educational Associations
27. Educational Administration & Personnel Development
28. Higher Education—Loans & Other Student Aid
31. Medical Education
32. Medical Research
33. Dentistry & Nursing
34. Hospitals—Buildings & Equipment
35. Hospitals—Programs
36. Medical Care & Rehabilitation
37. Mental Health
38. Public Health
39. Alcoholism & Drug Abuse
46. Art & Architecture
47. Theater & Performing Arts
48. Music
49. Museums
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